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ABSTRACT

The Evaluation of Worker Profiling and Reemployment Services (WPRS) systems was designed to provide the U.S. Department of Labor information on how states are designing, implementing, and operating their worker profiling and reemployment services systems for dislocated workers and to compare the effectiveness of different state approaches to operating WPRS systems in accomplishing the goals of the WPRS initiatives. Phase I of this evaluation examined how Delaware, Florida, Kentucky, New Jersey, and Oregon, the prototype states, and Maryland, the test state, designed and implemented their WPRS systems. Data were collected through site visits, review of profiling proposals and activity reports submitted by the states, and a consumer satisfaction survey of a sample of profiled and referred claimants in the states. The study found that most of the states used profiling models to identify which claimants were selected for and referred to services. All states initially screened out certain persons, such as those who were expected to be recalled by their employers. The states used the initial unemployment service claim as the main source of data for profiling. Profiling models included as a dependent variable whether a claimant exhausted benefits and explanatory variables such as definitions of declining industries. Special services were provided to the profiled clients, and clients were generally pleased with the way they were treated and that they were encouraged to find suitable jobs. The study recommended steps to improve the implementation of WPRS systems, including early intervention, improved services, more focus on customer satisfaction, automated feedback systems, and sanctions. (The report includes 25 tables of data developed during the study. Four appendixes provide the following: (1) descriptive profiles of the state programs; (2) the customer satisfaction survey; (3) analysis of non-response to the customer satisfaction survey; and (4) a state implementation database. Contains 15 references.) (KC)

Evaluation of Worker Profiling and Reemployment Services Systems: Interim Report

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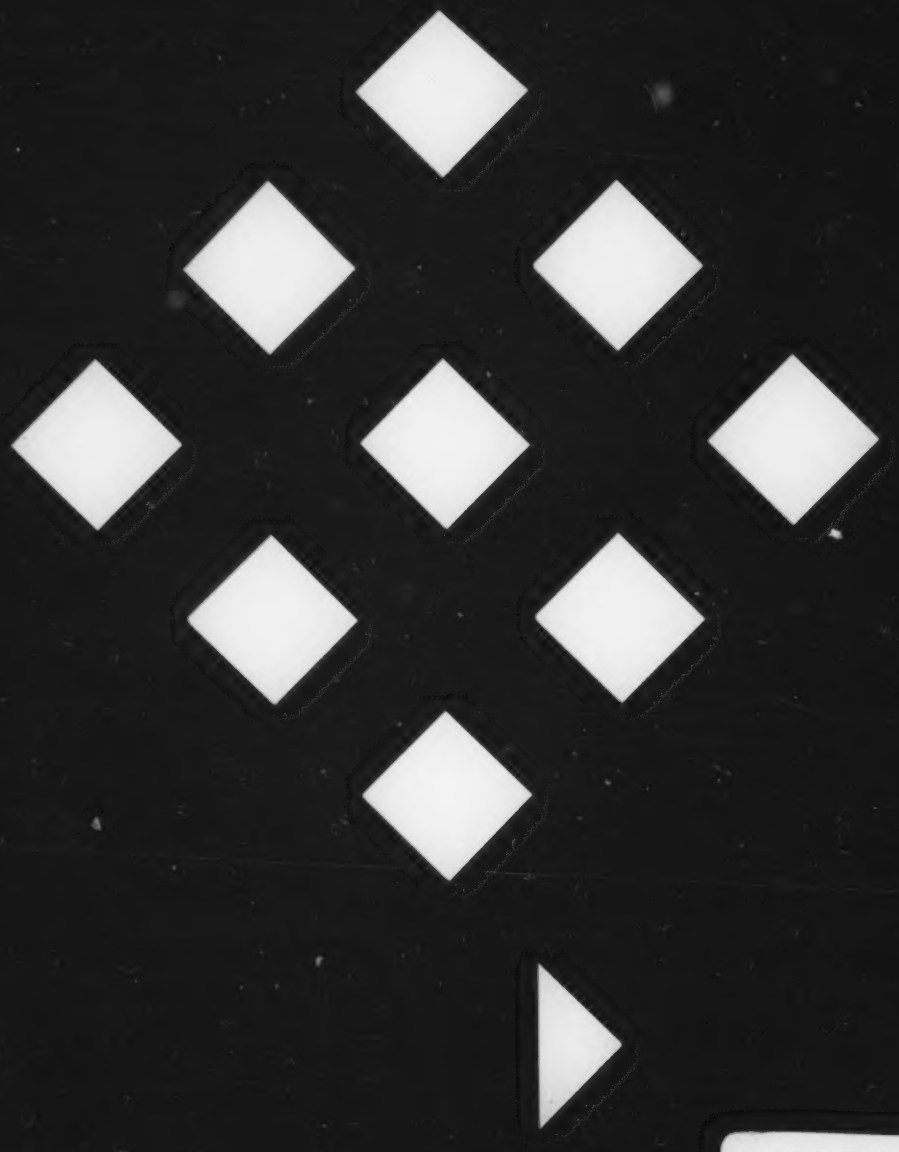

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Evaluation of Worker Profiling and Reemployment Services Systems: Interim Report

Unemployment Insurance
Occasional Paper 96-1

U.S. Department of Labor
Robert B. Reich, Secretary

Employment and Training Administration
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Mary Ann Wyrsch, Director

1996

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Evaluation of Worker Profiling and Reemployment Services Systems

Interim Report
November 1995

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OVERVIEW

The U.S. Department of Labor (DOL), Employment and Training Administration (ETA), has undertaken a major initiative to help the States implement effective Worker Profiling and Reemployment Services Systems, as required by the Unemployment Compensation Amendments of 1993, Public Law (P.L.) 103-152. The purpose of the WPRS initiative is to assist those unemployment insurance (UI) claimants who are at greatest risk of becoming long-term unemployed to become reemployed by quickly referring them to reemployment services tailored to their individual needs.

Background on the WPRS Initiative

"Profiling" is based on a set of a criteria--a profile--that can be used to identify UI claimants who are likely to exhaust their UI benefits and will need re-employment services to make the transition to new employment. Profiling selects those claimants who are permanently dislocated of the broad population of UI claimants, and refers them to reemployment services early in their unemployment spell. Follow-up information on referred claimants' participation in reemployment services and employment outcomes are collected from service providers through a feedback mechanism from the service provider to the UI program.

The goals of a Worker Profiling and Reemployment Services System are:

* To identify claimants who are likely to exhaust their benefits and need re-employment services early in their unemployment spell;

* To link them with re-employment services customized to meet their individual needs; and

* To get results for the customer--getting dislocated claimants reemployed faster and into better jobs than they would have obtained without assistance.

Worker Profiling and Reemployment Services has been implemented nationwide using a phased approach. First, five States selected by DOL as "prototype States" were funded in mid-1994 to develop and implement model WPRS systems: Delaware, Florida, Kentucky, New Jersey, and Oregon. Next, 20 more States were funded later in 1994 for a first wave of nationwide implementation. Finally, all remaining States were funded in 1995 for a second wave of nationwide implementation.

Overview of the WPRS Evaluation

ETA is conducting a comprehensive evaluation of the Worker Profiling and Reemployment Services (WPRS) initiative. This effort is designed to provide both:

(1) an evaluation of the operation and effectiveness of State WPRS systems, in accordance with P.L. 103-152, which mandates a report to the Congress by November 24, 1996, and

(2) a longer-range evaluation to provide an assessment of the operation and effectiveness of more mature State WPRS systems.

The evaluation is divided into three phases covering a period of four years. Phase I of this long-term evaluation effort focused on an implementation and process analysis of the first States to implement WPRS systems, based on case study site visits and a customer satisfaction survey. Phase I focused on six States: five "prototype" States--plus Maryland, which is called the "test" State because it was the first State to test DOL's prototype profiling model.

Phases II and III of the Evaluation of Worker Profiling and Reemployment Services Systems will expand the implementation and process analysis of WPRS to the entire nation. Phase II will also examine the effectiveness of WPRS systems in the prototype and test States, while Phase III will expand the effectiveness analysis to a broader sample of States representing distinct groupings or modes of WPRS operational approaches, in order to compare the relative effectiveness of alternative approaches.

This publication, the Interim Report, presents the results of Phase I of the evaluation. A Report to the Congress will be submitted at the end of Phase II in November 1996. Finally, Phase III will include a comprehensive final report to DOL.

Lessons Learned from Phase I of the Evaluation

Several particularly important lessons emerged from the early implementation experiences of States studied during Phase I.

- **Profiling.** WPRS systems in the prototype and test States were generally able to conduct profiling soon after initial claims were filed, and thus refer selected claimants to services early in their unemployment spell. However, these States were still struggling to determine how best to identify declining industries and occupations for inclusion in the profiling models; greater sharing of approaches among States is needed in this area.

- **Selection and Referral.** Some delays in referral to services occurred because the service capacity in each local area was predetermined and could not be adjusted. Flexibility in service capacity--the ability to change the allocation of service capacity across local areas and across time--is key for expediting referral to services of those claimants with the highest probability of long-term unemployment.

- **Reemployment Services.** States were usually successful in providing services to WPRS claimants early in their unemployment spells, but in many cases the services were few in number and not very comprehensive. In part, staff were reluctant to add services to WPRS claimants' individual service plans because it would make those services mandatory for continuing receipt of UI benefits. However, reemployment services would better meet these customers' needs if more types of services were available and if the specific services provided were more in-depth.

- **Service Plans.** Nearly all of the six States evaluated required an individual or group assessment followed by the development of an individual service plan. However, in some sites service plans for WPRS claimants were not individualized and in others service plans have become a "pro forma" paperwork requirement. The use of individual service plans needs to be improved: customers who received help in developing such plans were substantially more satisfied with WPRS services than those who did not receive such assistance.

- **Feedback.** All of the six States evaluated adapted their automated data management systems to provide feedback on WPRS claimants. Most States are using pre-existing data systems, both ES and UI systems, to provide feedback for WPRS. Procedures used to track services received through EDWAA are generally not well-developed; for example, none of the States studied have any electronic linkage with EDWAA systems. Clearly, better feedback arrangements with EDWAA are needed.

- **Partnerships and Coordination.** In all sites, coordination linkages between the UI and ES programs were working relatively well, but in most sites, the linkages between UI or ES with the EDWAA program were less well established. Better links with EDWAA are needed to take better advantage of its expertise in providing services to dislocated claimants with a wide variety of needs.

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EXECUTIVE SUMMARY

BACKGROUND AND STUDY OBJECTIVES

The Evaluation of Worker Profiling and Reemployment Services (WPRS) systems was designed to provide the U.S. Department of Labor (DOL) information on how states are designing, implementing, and operating their worker profiling and reemployment services systems and to compare the effectiveness of different state approaches to operating WPRS systems in accomplishing the goals of the WPRS initiative.

Phase I of this evaluation, the subject of this report, examined how Delaware, Florida, Kentucky, New Jersey, and Oregon, the prototype states, and Maryland, the test state, designed and implemented their WPRS systems. The objectives of Phase I were to provide information on:

- How states designed and implemented their worker profiling and reemployment services systems including their profiling methods, reemployment services, and feedback mechanisms.
- What influenced decisions regarding the development of WPRS policies and procedures.
- How these decisions have affected (a) who is profiled, selected, and referred for services, (b) what reemployment services are available and required, and (c) how well feedback mechanisms work.
- What factors enhanced or impeded effective implementation of the states' WPRS systems.

The timing of Phase I precluded the inclusion of any findings of effectiveness; it was too early in the implementation of these systems to expect any meaningful outcome information to be available. Future phases of the evaluation and the accompanying reports will include findings on the effectiveness of different state approaches to operating WPRS systems.

EVALUATION DESIGN

The design of the Phase I implementation study included three of data collection efforts focusing on the prototype and test states.

First studies of the five prototype states and the test state were conducted to obtain an in-depth picture of how these states designed and implemented their worker

profiling and reemployment services systems at the state and local levels. The research team conducted site visits to the state office and two local offices of each prototype and test state. We attempted to select sites that would give us a diversity across all of the sites of the size of the UI claimant population in the local office, local area population density, and local economic conditions. The site visits to the state office consisted primarily of interviews with administrators who developed and staff who implemented WPRS policies and procedures, including respondents in the UI, ES, EDWAA, and labor market information systems. At the local level, we interviewed administrators and staff in the agencies that were participating in the local WPRS system; observed reemployment services conducted for profiled and referred claimants; conducted a focus group discussion with profiled and referred claimants who participated in the observed service; and reviewed curricula and materials related to the reemployment services provided for profiled and referred claimants.

The second data collection effort involved the review of profiling proposals from the prototype, test, and first wave states, and ETA 9048 Activity reports submitted by implementing states. The information in the proposals were summarized and along with the data submitted on the ETA 9048 Activity reported entered into a state implementation database.

Finally, we conducted a customer satisfaction survey of a sample of profiled and referred claimants in the prototype and test states. The purpose of this survey was to (a) assess how helpful services were to customers, both overall and for specific services; (b) determine how different types of profiled and referred claimants viewed the helpfulness of services they received; (c) determine the relationship between customer satisfaction and services received; and (d) determine the relationship between customer satisfaction and outcome measures including employment and wage replacement.

Partnerships and Coordination

Partnerships and coordination linkages were important for designing a WPRS system that identify claimants most at risk of exhausting benefits and then provide those claimants with appropriate reemployment services. States and local areas faced many challenges to the development of effective partnerships and effective coordination linkages. Among these challenges were resolving differences in missions among the potential partners, overcoming institutional inertia, gaining knowledge and an

understanding of each others' systems, and working with noncomparable federal requirements for the different agencies.

All of the case study states established some type of partnership between the UI, ES, and EDWAA systems. A few of the states also included the labor market information and educational systems as key partners in their WPRS system. The nature of these partnerships, including their leadership mode, varied depending on the state, local site, and area of coordination. Existing relationships and organization structures were very important in how the partners collaborated and how leadership styles evolved.

Leadership styles used can be characterized as either single-agency, interagency, task-force, or a combination of these approaches. The single-agency leadership mode was one in which one agency, usually UI or ES, took the lead for a substantial part of the WPRS effort. We found this to be the most common leadership mode in the local case study sites, where ES assumed major responsibility for the development and delivery of services. The interagency leadership mode involved a relatively equal sharing of leadership responsibility. For example, in one local site ES, UI, EDWAA, and community college systems at the administrative and operational levels had equal representation in decision-making and relatively equal roles and responsibilities in the operations of the WPRS system. The task-force leadership mode involved the use of task forces to carry out particular tasks. These task forces were temporary but, when in existence, had nearly complete control over the task for which they were created. This was a common mode used for the development of profiling models.

Substantial coordination occurred in the development of policies and procedures. State ES, UI, and EDWAA agencies were all represented to some degree in the development of statewide policies and procedures. Usually, however, EDWAA was less involved in these activities than UI or ES.

States also varied in the ways they involved the local offices in the development of statewide policies and procedures. In some states, a few local offices had direct input into the development while others had none. In other states, all local offices were invited to review and provide comments, but had no direct involvement in the actual development. It was evident that the local offices were concerned about the amount of direct input they had into the development of policies and procedures that affected their local operations. Those with less input were generally less pleased with

what they were required to do. To facilitate implementation at the local level, states can either directly involve local offices in the development of policies and procedures that affect them or allow local offices a substantial amount of discretion to develop local policies and procedures.

Partnerships and coordination linkages for the WPRS initiative were better established in some states and local areas than in others. The organizational structure of the state and local offices, the existing relationships between the agencies, and other national and state initiatives to serve customers with employment and training needs similar to those of the WPRS dislocated worker were all important factors in the case study states and local areas influencing the effectiveness of collaboration efforts and the development of coordination linkages. A positive effect of the WPRS efforts was that the partnerships fostered and the coordination linkages created serve future efforts to provide well-integrated services to customers.

PROFILING AND SELECTION

A key element of WPRS systems was identifying which claimants were selected for and referred to services. Five of the six case study states used a two-step profiling model, generally based on the DOL prototype; the other, Delaware, used a series of screens that were intended to identify claimants who were likely to exhaust their benefits. Delaware plans to implement a statistical profiling model when it has sufficient state historical data for that model development.

Most states who used a model had assistance in developing it. Maryland, the test state, had assistance from a DOL team. Kentucky contracted with a state university to estimate and test their model. Mathematica Policy Research provided some assistance to New Jersey and Florida because it had developed similar models for these states as part of demonstration projects.

All states began with a characteristic screen to eliminate those who were not permanently separated (as indicated by those with a recall date) or who had access to similar services through a union hiring hall. Most also excluded interstate claimants, and two states excluded seasonal workers even when they did not have a recall date.

Delaware added other characteristics to their screen as their main method of profiling workers. Claimants were screened using tenure on the previous job and working in a declining or slow-growth industry or occupation. Defining appropriate slow-growth occupations was a significant challenge in this state. Further, because

occupation was missing for some claimants, those claimants had to be excluded from being profiled and referred.[1]

Most states with a profiling model used as the dependent variable whether a claimant exhausted benefits although one state used the proportion of benefits collected to provide more detail. Explanatory variables generally started with the variables in the DOL prototype model. Factors that affected states' decisions to add other variables included administrators' experiences about what they thought would likely affect UI exhaustion and a concern about the cost of collecting new data.

States varied most in how they specified declining industries and occupations. Some states developed a general indicator, such as growth rates of different occupations or industries while others simply included binary variables for specific occupations or industries.

Kentucky's model included a large number of explanatory variables that were found to affect the proportion of benefits collected. Because the economies of local areas in this state were so diverse, a separate model was estimated for eight separate regions.

All states used the initial UI claim as the main source of data for profiling. In states where ES registration was mandatory for all UI claimants, the ES registration form was also an important data source, especially for occupation data. States without mandatory ES registration started collecting occupation on their UI claim form, so occupation could be included in future models. Three states also used information from UI wage records to create variables related to previous employment.

Satisfaction with the profiling model and the type of claimants who were profiled and referred to services varied considerably. Some staff saw little difference between profiled and referred claimants and other job seekers served by the ES. Others were concerned that the profiled claimants tend to be highly-educated and highly-skilled workers, whom staff believed did not need their services. As discussed below, this often reflected a lack of diverse services for a diverse population of dislocated workers rather than a defect in the modeling procedure.

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[1] Since the case study visits in early spring 1995, Delaware successfully resolved the challenges of defining slow-growth occupations and the problem of missing occupation data for claimants.

States that used a profiling model identified claimants with the highest probability of exhausting or using a high proportion of UI benefits for referral to services. Individuals remained in the selection pool for from 2 to 5 weeks. If they did not have the highest probability in one week, they remained in the pool in case they had the highest probability in a subsequent week. In one local site, however, individuals who could not be served were placed on a waiting list, and those who had been on the list the longest were selected for service. This practice unintentionally undermined the goal of early intervention with WPRS services. Profiled claimants could remain on a waiting list for a long period of time, possibly resulting in referrals to services late in their unemployment spells.

The number of claimants referred to each local agency was predetermined. The state central office in three states determined this number; two on the basis of the number of claimants in each area in the previous year, the other referred an equal number to each local office. In the other states, the local offices participated in the decision about the number of WPRS claimants to be served each week.

Because the number of claimants referred to each area was predetermined, claimants with the same probability of exhaustion were not equally likely to get services within a state. For example, although the model might indicate that claimants in areas with high unemployment rates had a higher probability of exhaustion, more claimants were not referred in those areas because of the predetermined capacity of each area.

Three states notified selected claimants directly about when and where to report for services. The other three states delegated this notification task to the local areas, because the locals were better able to accurately describe the types of services they offered. States generally found it important to balance the tone of the notification letters to emphasize both the claimants' requirements to participate and how the services were expected to help claimants become reemployed.

Providing Services to Claimants

To a large extent state and local areas used existing services and service delivery arrangements as models for the design of WPRS services. In most local areas, unless coordination linkages with EDWAA were already well-established, ES assumed most of the responsibility for the development and provision of reemployment services. In

fact, in nearly every site, there was a noticeable lack of involvement of EDWAA in the development of services.

All case study states provided guidelines and developed materials for use by the local offices in the provision of services. Some of the states were more proscriptive than others in an attempt to assure comparability of services across the state. All of the states, nevertheless, expected local areas to design and develop the content of local services. Some of the states and local sites were already gathering customer feedback to help them focus their continuous improvement efforts. Local sites were more motivated to make improvements when states encouraged them to experiment and change their service design, if necessary, to better meet the needs of the local claimants.

The way local areas chose to deliver services differed from local site to local site. We rarely encountered fully integrated partnerships in which partners administered and operated their WPRS systems collaboratively. Many of the sites had well-working parallel partnerships, however, where agencies together provided some services, like orientation, but then claimants went to one or the other of the partners for services appropriate to their needs. For example, in several sites, claimants who were assessed job ready were referred to ES while those who were less job ready were referred to EDWAA more intensive services. We also found that some local areas used a dominant-agency approach in which one agency, usually ES, provided most of the services and other providers, such as EDWAA, were used for referrals to voluntary services.

WPRS requirements varied by states and local areas in length of participation and in content of services. States were usually successful in providing services to WPRS claimants early in their unemployment spells, but, in many cases the required services were of short duration, not intensive, and not comprehensive in content. Although not universal, many sites were reluctant to require a more extensive commitment to reemployment services for all profiled and referred claimants and so required limited services. Further, some staff were hesitant to have claimants develop comprehensive individual service plans out of concern about making these comprehensive services mandatory.

All of the states but Maryland required a separate orientation session. Most of the states also required an assessment interview and the development of a service plan.

Some of the sites required one additional service or a choice of at least one additional required services such as a job search workshop. In some sites, the services on the individualized service plans were the only other required services.

Although most of the services available to profiled and referred claimants were different from those offered to the typical client of the service providers, participation in required WPRS services assured that claimants were introduced to the whole array of available services and were introduced to these services early in their unemployment spells.

FEEDBACK PROCEDURES

Another important component of WPRS systems was collecting and reporting data on claimants' progress in services to monitor their compliance with participant requirements. All case study states adapted or augmented their automated data management systems to provide feedback on WPRS claimants. Two states created mainframe systems that read and displayed data directly from the ES and UI systems for WPRS claimants. Another created a PC-based system, but this system required local offices to enter data into both ES and UI systems. The other two states modified their systems so that both ES and UI agencies accessed information from each others' systems and thus data entered in one system automatically updated that data on the other system.

Claimants' participation in services was usually tracked relative to the service plan developed for each claimant. In most states, the service plan was entered into the computer system and, as a claimant completed a service, a staff member entered the completion date into the computer and determined whether the plan was complete. One state, however, tracked progress against the plan manually. In another state, the only mandatory service was a workshop provided on the day of orientation, so only whether the individual attended that workshop was tracked.

Although most states made only minor modifications to their data systems to be able to track participation in services, Florida has developed a new case management system that allows staff to enter case notes as well as service plans.

Three states communicated to UI either verbally or in writing about claimants who were not in compliance with WPRS requirements. The other three states notified UI offices electronically, although these states also tended to follow up verbally or in writing. Establishing effective and reliable communication procedures was a challenge

in many areas, regardless of whether they were using verbal, written, or electronic notification. Improvement in these feedback mechanisms can improve the ability to target services effectively and provide reliable information to UI for monitoring continuing eligibility for UI benefits.

Procedures to track services received through EDWAA were generally not well developed. At most, local agencies recorded whether a claimant was referred to EDWAA for training; few tracked whether claimants actually received or completed training. None of the states had any electronic linkage with EDWAA systems, so all communication needed to be written or verbal.

States and local offices varied considerably in how strictly they enforced WPRS participation requirements. In some areas, when claimants missed a service, they were allowed to reschedule once without an explanation. In contrast, one office denied benefits if a service was missed, unless the person had a job interview or death in the family. Thus, the percentage of WPRS claimants who were denied benefits varied greatly across local offices and states. Generally, when benefits were denied, it was only for one week, but in some cases benefits were not restored until the claimant reported to the missed service.

Several respondents indicated that the WPRS participation requirement gave them an important tool to determine whether individuals were "able and available" for work. Often claimants who missed services gave excuses that suggested they were not "able and available" (e.g., they were out of town). Often staff preferred to deny benefits because of these "able and available" issues rather than WPRS noncompliance because they had more experience in justifying such decisions. The WPRS system, therefore, provided state staff with more information on which "able and available" decision can be made.

Customer Satisfaction

As part of this study, we conducted a survey of customer satisfaction with early WPRS services. During June and July of 1995, we mailed a questionnaire to a sample of 2,100 profiled and referred claimants who filed for benefits between October 1994 and January 1995 in the test and prototype states. Readers should keep in mind that the sample enrolled at an early stage of implementing WPRS services. The goals of assessing the satisfaction of these initial customers were to provide states with early

feedback about customers' satisfaction with their experiences and to suggest ways that WPRS services could be improved to increase customer satisfaction.

Overall, about 41% of the customers reported that they were very or extremely satisfied with WPRS services, 42% reported that they were somewhat satisfied, and 17% were not satisfied at all. Although these numbers suggest substantial room for improvement, the results were fairly similar to the levels of satisfaction reported by EDWAA customers who received only basic readjustment services.

Customers were generally pleased with the way they were treated in the WPRS system, nearly all agreeing that they were treated with respect and that staff seemed to care about them. About two-thirds agreed that the services were right for them and that they were encouraged to find jobs that were right for them. These customers who felt that the services and jobs were right for them were significantly more satisfied with the program overall, suggesting that ensuring more appropriate services would increase overall satisfaction with WPRS services. Most customers indicated that services were well-coordinated.

Customer characteristics generally did not influence their overall satisfaction with services, but age was an important factor. Older workers generally were more satisfied with services than younger workers, perhaps because the program helped them address the added challenge they faced in finding appropriate reemployment. Overall satisfaction was not related to customers' previous wage levels or job tenure.

Among specific services, customers rated development of an individual service plan as one of the most helpful. Further, those who reported receiving assistance in developing a plan were significantly more satisfied with the program overall, in part because they were more likely to report that services were right for them and that they were encouraged to find jobs that fit their needs. Providing more individual service planning, therefore, is another way to increase overall satisfaction with WPRS services.

More important than receiving any specific service, however, was the intensity of services received. Customers who received more types of WPRS services and those who received more hours of services were substantially more satisfied with WPRS services overall. Intensifying WPRS services, therefore, may be an important way to increase the levels of customer satisfaction.

At the time they were interviewed, 56% of the sample was employed, with an average wage replacement rate of 93%. Surprisingly, however, the level of customer satisfaction with WPRS was not related to either whether the customer was employed or to the extent they replaced their wages in their new jobs.

RECOMMENDATIONS

The results of this study suggested several steps that federal, state and local agencies could take to improve the implementation of WPRS systems.

Early Intervention to Those at Risk

- Facilitate the ability to intervene early by ensuring that all the agencies involved in providing the needed data understand the importance of providing timely data and are trained in their new responsibilities.
- Encourage strategies to add flexibility for matching local capacity to local demand. When states have the ability to reallocate a given level of resources to accommodate changing demand, they are better able to assure that those with highest probabilities of exhaustion are served across their states.
- Facilitate the sharing of modeling approaches among states, especially in incorporating measures of declining industries and occupations and specifying the combined effects of job tenure and previous wage.

Improved Services

- Involve local administrators and staff from all agencies in the development of policies and procedures that affect local office operations. The more involved local offices are, the greater their commitment to developing and operating an effective WPRS system.
- Develop better links with EDWAA programs to take better advantage of its expertise in providing services to dislocated workers with a wide variety of needs.
- Improve the use of individual service plans by developing customized individual service plans and providing a wide array of services. Customers who report receiving help in developing such plans are substantially more satisfied with services and are more likely to see the services and jobs they learn about as right for them.
- Develop more comprehensive and intensive services, including a wider array of services and longer-term services appropriate for WPRS claimants. Customers who participated in more intensive services were more satisfied with WPRS services.

Customer Satisfaction

- In addition to improving services, encourage claimants to find out about appropriate jobs. Program operators who encourage customers to find jobs that fit their levels of skills and experience will likely increase the level of satisfaction with their services overall.
- Ensured that claimants feel that program operators care what happens to them. Most customers agreed that service providers cared what happened to them, but those who disagreed reported that services were substantially less helpful.

Feedback

- Invest in developing automated feedback mechanisms to improve tracking participation without increasing paperwork and to allow for more case management in providing WPRS services.
- Develop systematic mechanisms to obtain feedback from EDWAA about WPRS claimants' participation in training.

Sanctions

- Develop ways to meet staff concern that lengthy service plans increase claimants' risk of sanctions. For example, some sites distinguished between mandatory and suggested services in claimants' plans to encourage more comprehensive and long-term service plans.
- Encourage greater uniformity in the application of sanctions, at least within states.

I INTRODUCTION

In this report, we present our findings from Phase I of a four-year study of the design, implementation, and operation of worker profiling and reemployment services systems, an initiative legislated by Public Law 103-152. This Worker Profiling and Reemployment Services (WPRS) initiative essentially modifies the current unemployment compensation system allowing it to deal with an ever-increasing segment of the unemployed—the dislocated worker.[1] Through the changes engendered by the WPRS initiative, the UI system will identify dislocated workers who are at risk of exhausting their unemployment insurance (UI) benefits and link them to appropriate reemployment services in a timely fashion. This two-pronged early intervention strategy is intended to assist identified UI claimants to quickly return to productive, stable employment.

This four year evaluation study is divided into three data collection, analysis, and reporting phases. This report includes findings from data collection efforts in Phase I. It focuses on six states that were first to implement their WPRS systems. Five of these states—Delaware, Florida, Kentucky, New Jersey, and Oregon—were selected as prototype states and the sixth, Maryland, was the test state for the U.S. Department of Labor's statistical profiling model. Furthermore, although the overall objective of this evaluation is to look at both implementation and effectiveness of WPRS systems, meaningful outcome effectiveness data are only really available during Phases II and III of the study. Consequently, this report concentrates primarily on the development and implementation efforts of the prototype and test states with some references to proposed efforts of first-wave states, the second group of implementing states.

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[1] The term "dislocated worker" is usually used to refer to workers who are permanently laid off from long-tenured jobs. These workers tend to suffer extended periods of joblessness and earn much lower incomes when they do become reemployed. Section 301(a) (1) and (2) of Title III, JTPA (EDWAA) defines "eligible dislocated workers" as "individuals who (A) have been terminated or laid off or who have received a notice of termination or layoff from employment, are eligible for or have exhausted their entitlement to unemployment compensation, and are unlikely to return to their previous industry or occupation; (B) have been terminated or have received a notice of termination of employment, as a result of any permanent or any substantial layoff at a plant, facility, or enterprise; (C) are long-term unemployed and have limited opportunity for employment or reemployment in the same or similar occupation in the area in which such individuals reside, including older individuals who may have substantial barriers to employment by reason of age; or (D) were self-employed (including farmers and ranchers) and are unemployed as a result of general economic conditions in the community in which they reside or because of natural disasters, subject to regulations prescribed by the Secretary."

BACKGROUND

On November 23, 1993, Congress enacted Public Law 103-152 which amended the Social Security Act by adding a new subsection 303(j). This law requires states to establish a system of profiling new UI claimants that:

- Identifies which claimants are likely to exhaust UI benefits and, therefore, need job search assistance to successfully transition to new employment.
- Refers such claimants to reemployment services in a timely manner.
- Collects follow-up information relating to reemployment services received by such claimants and the employment outcomes subsequent to receiving such services.

The law also requires claimants referred to reemployment services to participate in those or similar services as a condition of eligibility for UI unless the claimant has already completed services or has "justifiable cause" for not participating.

The impetus and rationale for the WPRS initiative came from findings of previous studies conducted by DOL and the states. These studies show that the combination of early identification and referral to reemployment services have positive impacts on an individual's ability to return to work more quickly and have more stable employment. Formal evaluations of three major plant-based demonstration projects during the 1980s assessed the extent to which reemployment services helped enhance the reemployment prospects of dislocated workers in the Detroit area (Kulik et al. 1984), Buffalo (Corson et al. 1985), and Houston and El Paso (Bloom and Kulik 1986). Although these demonstrations had relatively small samples and used different research methodologies,[2] one general finding emerged: The reemployment outcomes for workers who received special assistance in looking for work tended to be more favorable than those for workers in the comparison/control groups, but additional benefits from participating in a training program were either ambiguous or small relative to program costs.

A fourth major evaluation—the New Jersey UI Reemployment Demonstration Project—had a somewhat broader focus than the plant-based projects and was

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[2]The evaluation of the Downriver program in Detroit used a comparison plant methodology, whereas the Buffalo and Texas evaluations used random assignment methods that differed according to how nonparticipants were treated.

particularly influential in the formation of the profiling legislation. The goal of the New Jersey demonstration was "to examine whether the Unemployment Insurance system could be used to identify workers early in their unemployment spells and to provide them with alternative, early intervention services to accelerate their return to work" (Corson et al. 1989, p. ix).

Each treatment in the New Jersey demonstration had a statistically significant effect on reducing the collection of UI benefits and on raising subsequent employment and earnings (Corson et al. 1989). The total benefits of the treatments also exceeded their total costs from the perspectives of both society and the individuals involved. From the perspective of government alone, however, only the job search and reemployment bonus treatments were unambiguously beneficial. No clear evidence emerged that providing training or relocation services in addition to job search assistance led to cost-effective gains.

Evaluations of several state and local demonstration programs similar to the New Jersey demonstration (see Meyer 1995 for a review) also support the notion that stronger links between UI recipients and the reemployment service system is a cost-effective way to promote rapid reemployment among UI recipients.

Programs to Aid Dislocated Workers

Although programs already exist to help the dislocated worker return to work, the problem of unemployment benefits exhaustion and long-term unemployment continue to plague numbers of dislocated workers. Most dislocated workers who receive UI benefits are also registered with the Employment Service, but relatively few receive substantive reemployment services. For example, a recent study (Richardson et al. 1989) of long-term recipients found that just 6 percent were receiving job search assistance more intensive than simple work registration. Rates of service receipt reported in a recent survey of UI exhaustees (Corson and Dynarski 1990) were considerably higher (64 percent said they received some services), but a substantial number (36 percent) still received no services and few claimants received intensive services such as assessment, counseling, or job-search workshops.

Dislocated workers may also receive reemployment services and training through several programs that are explicitly targeted on them. The main such program is the Economic Dislocation and Worker Adjustment Assistance Act (EDWAA) program which operates as Title III of the Job Training Partnership Act (JTPA). Under the

EDWAA program, states receive funds to provide training and related services to dislocated workers.[3] As part of EDWAA, it is intended that states conduct rapid-response activities to inform dislocated workers of available services as soon as a plant closing or mass layoff is announced. Considerable variation exists, however, in the extent that this goal of intervention is met (Dickinson et al. 1993).

Other programs provide services to specific groups of dislocated workers. Among these programs is the Trade Adjustment Assistance (TAA) program which seeks to aid workers who lose their jobs because of trade liberalization. Various amendments to JTPA also authorized new programs for special categories of workers, including special reemployment assistance for workers who lost their jobs after the Clean Air Act was implemented and for workers dislocated because defense expenditures were reduced. Eligibility provisions for other programs to aid workers dislocated by federal policy initiatives (such as the enlargement of Redwoods National Park, railroad reorganizations, and airline deregulation) were clearly targeted and, in some cases, offered more generous cash benefits than those available under the regular UI program.

Despite the large number of special programs, the overall number of workers served by EDWAA and other dislocated worker programs is relatively small. The exhaustee study data (Corson and Dynarski 1990) suggest that under 10 percent of exhaustees receive any services from these programs. A consensus has developed that, while the current system of government programs for dislocated workers provides temporary income support, it places too little emphasis on providing reemployment services early in claimants' unemployment spells to help them return quickly to productive employment. PL 103-152 is intended to address the issue of long-term unemployment by increasing the likelihood that dislocated workers receive reemployment services early in their spells of unemployment. Therefore, profiling will become another major way that dislocated workers will enter reemployment services along with self-referral and EDWAA rapid-response activities and it will increase the

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[3]EDWAA provides a somewhat broader definition of dislocated workers than that used in the Displaced Worker Surveys (DWS) or in other research on the topic. Under EDWAA, some workers who have not yet been laid off (but have received a notice of termination) are eligible for assistance, as are some self-employed workers. Eligibility does not involve explicit job-tenure or recall-expectation criteria.

likelihood that the unemployed will receive these services early in their unemployment spells.

WORKER PROFILING AND REEMPLOYMENT SERVICES SYSTEMS

The Department of Labor's interpretation of the law (in Unemployment Insurance Program Letter No. 45-93, Field Memorandum No. 35-94, and other documents) provides guidance to the states on how to implement WPRS systems. Specifically, states are encouraged to adopt and adapt a profiling model approach developed by DOL (Worden 1993). This approach uses a two-step process to identify dislocated workers. In the first step, non-job-attached claimants are identified and, in the second, a probability of exhaustion is estimated for each such claimant. Those with the highest probabilities of exhaustion are identified as the target group. States that do not have sufficient data to estimate such models are expected to use a fixed set of characteristic screens to identify dislocated workers (as was done in the New Jersey demonstration), but they are encouraged to develop profiling models as more data become available.

Identifying dislocated workers is the first step in helping them become reemployed; strengthening linkages to reemployment services is the second step. For this reason the WPRS legislation requires state UI systems to refer profiled claimants to reemployment services. Referred claimants are expected to participate in reemployment services as a condition of eligibility for UI unless they have already completed such services or there is a justifiable cause for a claimant's failure to participate.

To operationalize these requirements, states are expected to establish agreements between the UI system and providers of reemployment services (i.e., the ES or EDWAA programs). It is expected that the service providers in each locality will hold initial orientation sessions with claimants followed by assessment sessions in which individual service plans will be developed for each referred claimant. Participation in the reemployment services included in the individual service plans will be a condition for continued UI eligibility. Reemployment services include (in addition to orientation and assessment) counseling, job search assistance such as job search workshops, referrals to jobs and job placement, and other similar services. Training or educational services are not considered reemployment services. However, claimants may be referred to training or educational services, and, if they participate, do not have to participate in other reemployment services. States are expected to develop feedback mechanisms to allow UI to monitor participation requirements and to provide UI with

information about claimants' participation in services and participant employment outcomes for use in continuous improvement efforts.

Using the UI system to identify dislocated workers and to refer them to reemployment services is expected to increase reemployment service receipt among UI claimants and improve employment outcomes for these claimants. As compared to the current system, profiling is expected to:

- Increase the likelihood that long-term UI claimants receive reemployment services.
- Increase the intensity of reemployment service receipt among long-term UI claimants.
- Change the timing of reemployment service receipt so that services are received earlier in claimants' unemployment spells.
- Reduce the duration of unemployment of long-term UI recipients and increase their reemployment and earnings.

The Department's implementation strategy for the WPRS initiative was to first fund prototype states, followed by "first wave" states, and finally "second wave" states resulting in all states being funded for implementation by early 1996. Five prototype states were funded for implementation beginning October 1, 1994: Delaware, Florida, Kentucky, New Jersey, and Oregon. Maryland volunteered to be a test for the national profiling model and, although not designated a prototype state, it began implementation of its profiling system in July 1994. Twenty "First Wave" states were selected and funded in Fiscal Year 1994. The remaining states, "Second Wave" states, were funded in Fiscal Year 1995.

Evaluation Objectives and Design

While the Department of Labor has developed guidelines for a worker profiling and reemployment services system and a national statistical profiling model, states are expected to take the lead in the actual implementation of a WPRS system that they customized to meet their unique needs and those of their dislocated workers. Consequently, the purpose of the evaluation is to provide information about how states design and implement their worker profiling and reemployment services systems, and about the relative effectiveness of different operating approaches in achieving the intended goals of the worker profiling and reemployment services initiative. Thus, the comprehensive evaluation design includes an implementation component and an effectiveness component.

The evaluation will be conducted over a period of four years; the data collection activities for the evaluation are divided into three Phases. This Interim Report covers the first phase of the study which focuses on the implementation of the WPRS systems in the prototype and test states. The timing of the data collection for this report precludes the inclusion of any findings of effectiveness; it was too early in the implementation of these systems to expect any meaningful outcome information to be available.

The Phase I implementation study will provide information on:

- How states designed and implemented their worker profiling and reemployment services systems including their profiling methods, reemployment services, and feedback mechanisms.
- What influenced decisions regarding the development of WPRS policies and procedures.
- How these decisions have affected (a) who is profiled, selected, and referred for services, (b) what reemployment services are available and required, and (c) how well feedback mechanisms work.
- What factors enhanced or impeded effective implementation of the states' WPRS systems.

Future reports, which will be based on data collected during subsequent phases, will include findings on the implementation of WPRS systems in remaining states as well as findings on the effectiveness of different state approaches to operating WPRS systems in accomplishing the goals of worker profiling and reemployment services.

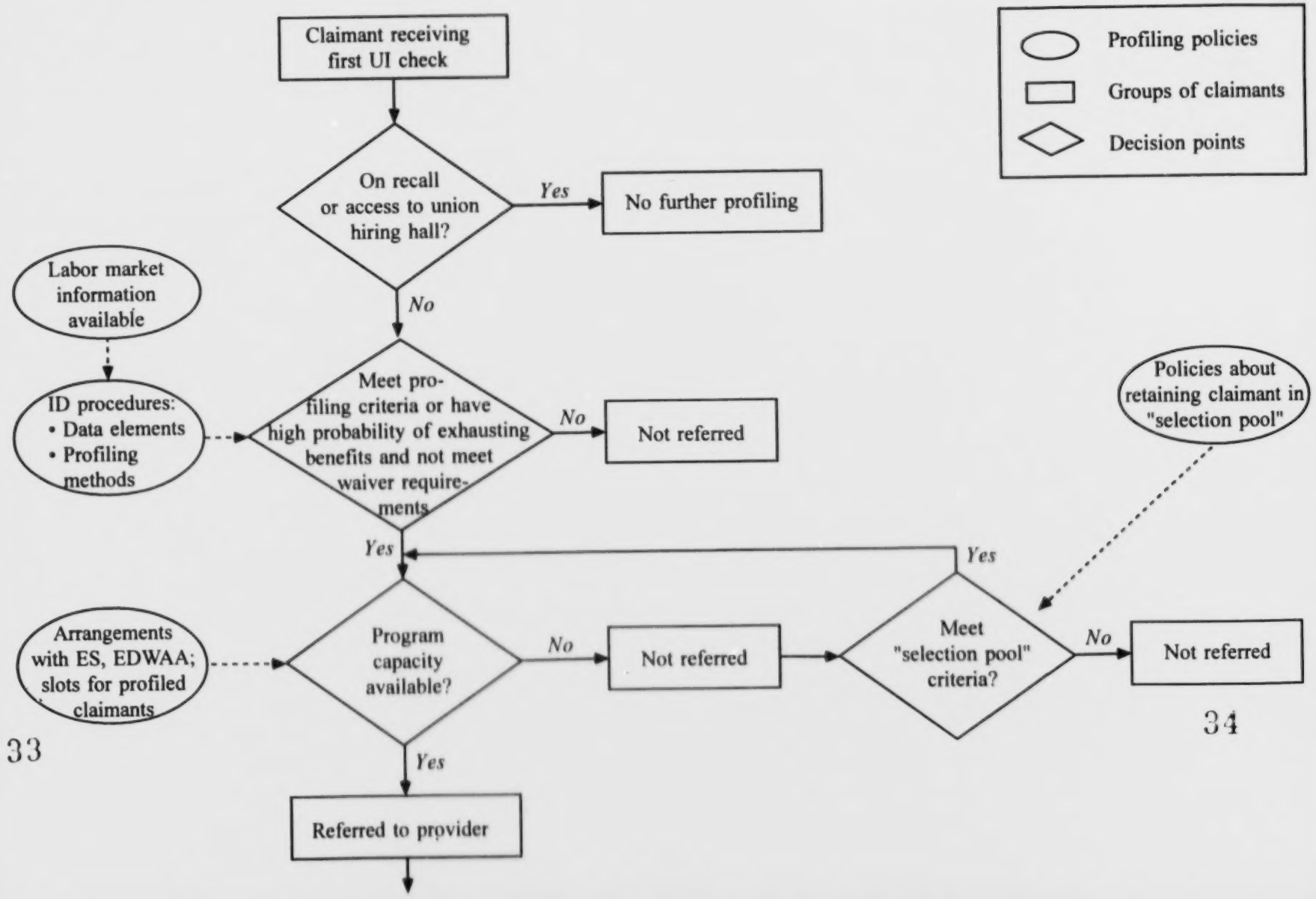
Conceptual Framework for the Evaluation

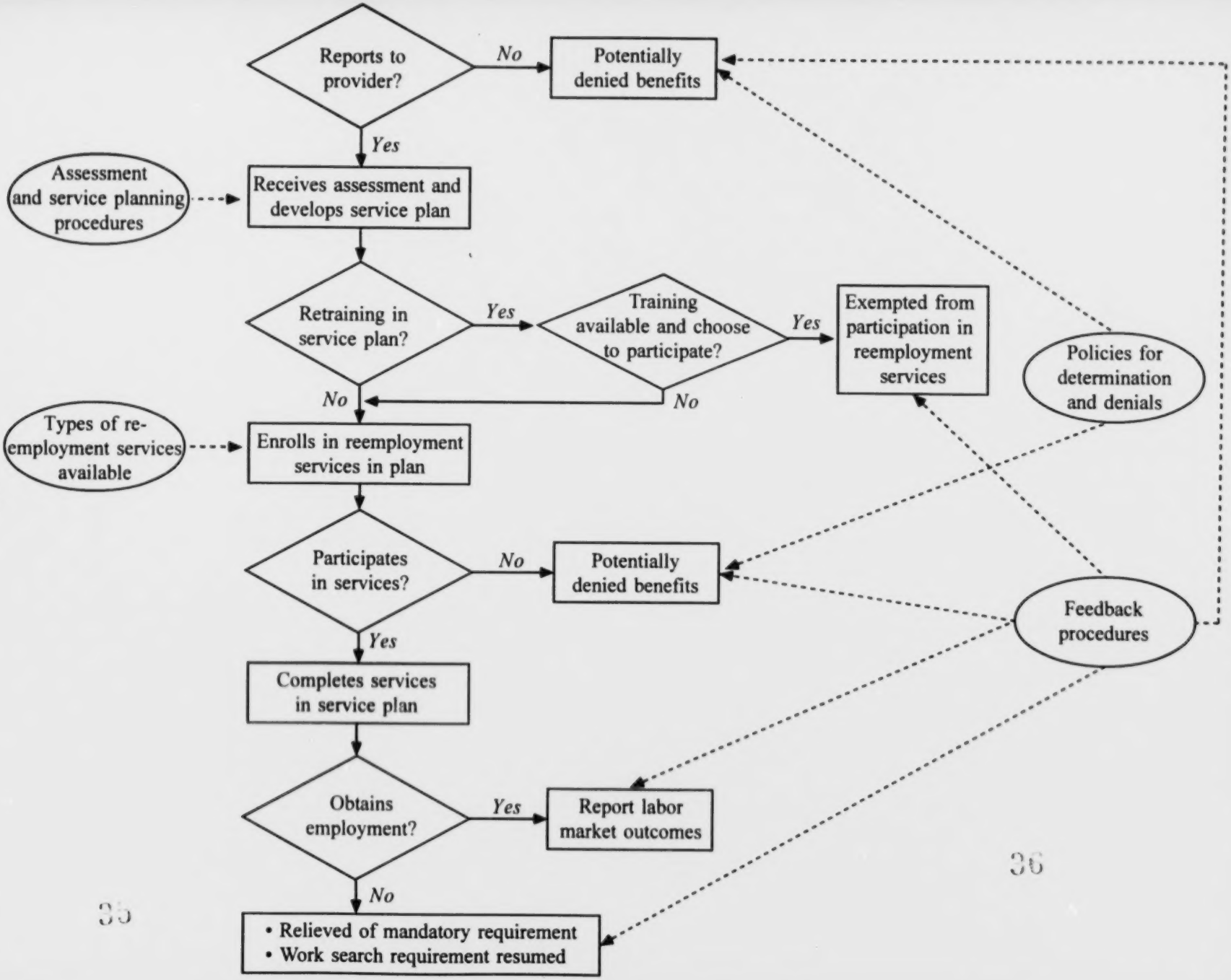
A conceptual framework consisting of a claimant-level model and a system-level model has guided the design, data collection, and analyses of this evaluation. These models (a) describe how claimants flow through the system, (b) identify the various policies and procedures that affect claimants' experiences, (c) define the role of state and local agencies in developing and implementing those policies and procedures, and (d) present federal, state, and local factors that can influence these policies and procedures.

Claimant-Level Model

The claimant-level model in Exhibit I-1 illustrates the process by which claimants flow through the profiling and reemployment services system and important state policies that can affect that flow. Although each state's system will vary, this model

Exhibit 1
Claimant-Level Model




Reports to provider?
No
Potentially denied benefits
Yes
Assessment and service planning procedures
Receives assessment and develops service plan
Retraining in service plan?
Yes
Training available and choose to participate?
Yes
Exempted from participation in reemployment services
Policies for determination and denials
No
No
Types of re-employment services available
Enrolls in reemployment services in plan
Participates in services?
No
Potentially denied benefits
Feedback procedures
Yes
Completes services in service plan
Obtains employment?
Yes
Report labor market outcomes
No
• Relieved of mandatory requirement
• Work search requirement resumed

I-9

illustrates the key features that state systems will address. The top half of the claimant-level model describes how claimants are selected and referred. There are several steps to this process. The initial universe of claimants consists of those who received their first checks. Those who are on recall status or those with access to a union hiring hall (which provides many reemployment services) are screened out in the first stage of the profiling process. Then, claimants who have a high expected probability of exhausting their UI benefits are identified. DOL encourages states to use a statistical profiling model for determining expected probabilities of exhaustion.

States have several choices in how this identification is made. They may choose to use a statistical profiling model that identifies a probability of exhausting benefits for each claimant. DOL has developed such a model. States can use this national model as developed, customize it with state-specific data or add additional elements, or develop their own model. Alternatively, states may use a characteristics screen profiling methodology that uses a combination of characteristics to identify a group of claimants at high risk of exhausting benefits. These include characteristics of the claimants (except those raising equal opportunity issues), claimants' previous jobs (e.g., declining industry or occupations), or the local labor market (e.g., local unemployment rates). The choice of data elements related to declining industries and occupation and to local labor market characteristics are affected by the quality and type of information available in the state.

Next, the profiled claimants are matched to the reemployment service capacity of the local area. This capacity is strongly affected by the arrangements that are made with ES and EDWAA systems. To match the supply and demand for services, states using a model that identifies a probability of exhausting benefits for each claimant can select the appropriate number of claimants in order of their probabilities of exhaustion. States using characteristic screens can randomly select the appropriate number of claimants from among those in the high risk group. These selected claimants are then referred to a local service provider and subject to the requirement that they participate in needed reemployment services.

The bottom half of the claimant-level model depicts the flow of the profiled and referred claimants through reemployment services. A key feature of the system is that the services are to be individualized. Each claimant is to be assessed and, using those results and the local labor market information, an individualized plan for services is developed. At one extreme, service plans for individuals whose skills match existing

job openings may call for only job referral assistance. At the other extreme, plans for individuals whose skills are not in demand in the local economy may call for retraining. Although individuals will not be required to participate in retraining, those whose plans call for retraining and who choose to participate will be exempted from participation in reemployment services.

The majority of profiled and referred claimants are expected to be in between these two extremes needing further reemployment services, such as job search training, job clubs, or other types of job search assistance. Policies and procedures related to assessment, development of service plans, and the types and intensity of services available will affect these experiences of claimants.

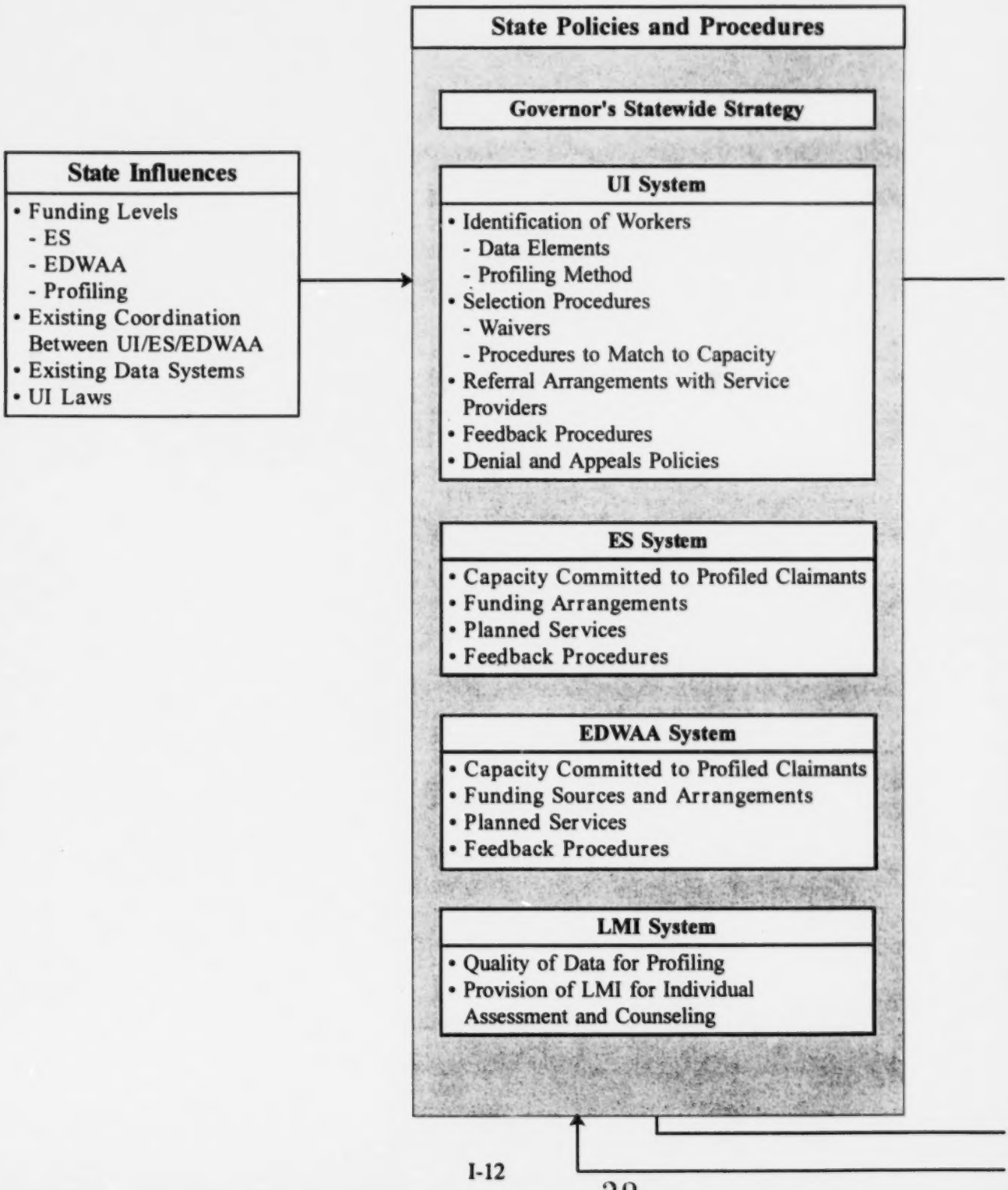
Profiled and referred claimants are required to report to the service provider, participate satisfactorily, and complete the required services. Claimants who do not meet these requirements may be denied benefits. Two important policies and procedures will affect the process of benefit denial. First, UI systems need to have effective procedures to inform service providers about which claimants are required to participate and to obtain feedback from the service providers about whether those claimants meet their requirements. Obtaining such feedback may be a substantial challenge, depending on the record-keeping procedures of providers and their commitment to keeping the UI system informed about claimants' circumstances. Second, states will likely vary in their procedures for determinations, denying benefits, and hearing appeals.

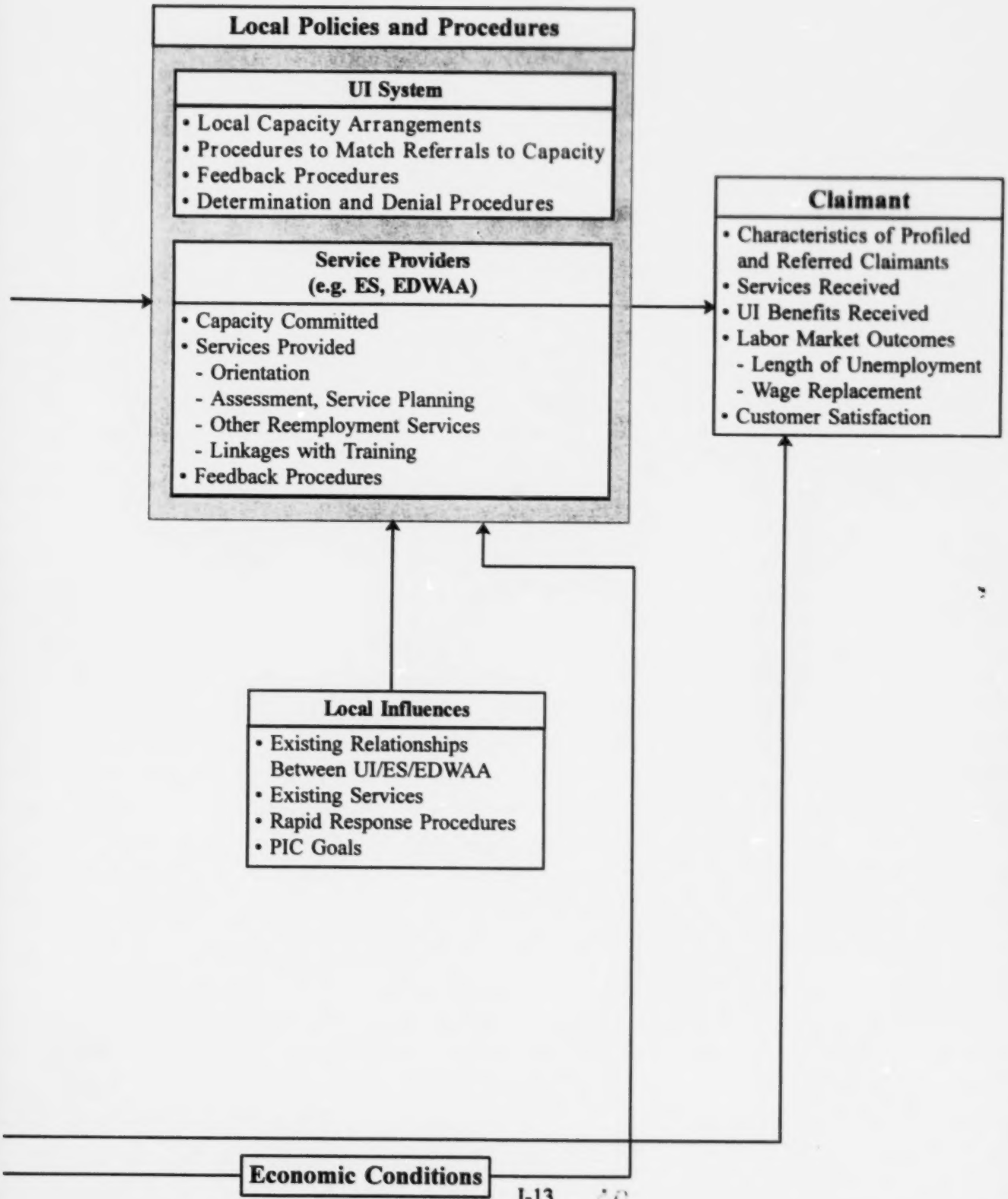
The ultimate goal of the profiling and reemployment services system is to help claimants become reemployed more quickly. Providing dislocated workers with high-quality labor market information and helping them identify their transferable skills may also help them replace a higher proportion of their previous wage rates. The UI system needs to obtain feedback from service providers about the outcomes achieved by participants who find jobs. UI also needs to learn about individuals who complete their service plans but do not find jobs, to relieve them of the mandatory participation requirement and to reinstate their work search requirements.

System-Level Model

The worker profiling and reemployment services system does not operate in isolation. The system-level model in Exhibit I-2 presents the many factors that can

Exhibit I-2
System-Level Model




Local Policies and Procedures
UI System
• Local Capacity Arrangements
• Procedures to Match Referrals to Capacity
• Feedback Procedures
• Determination and Denial Procedures
Service Providers
(e.g. ES, EDWAA)
• Capacity Committed
• Services Provided
- Orientation
- Assessment, Service Planning
- Other Reemployment Services
- Linkages with Training
• Feedback Procedures
Claimant
• Characteristics of Profiled and Referred Claimants
• Services Received
• UI Benefits Received
• Labor Market Outcomes
- Length of Unemployment
- Wage Replacement
• Customer Satisfaction
Local Influences
• Existing Relationships Between UI/ES/EDWAA
• Existing Services
• Rapid Response Procedures
• PIC Goals
Economic Conditions

influence both how the system is designed and how effectively it is implemented as planned and achieves the desired outcomes.

The State Policies and Procedures box (second from the left) indicates the key UI WPRS policies identified in the claimant-level model. However, effective WPRS systems also depend critically on the service provider systems, predominantly ES and EDWAA. A major challenge that states face is developing a coordinated, statewide strategy for making reemployment services available to profiled workers and developing effective feedback procedures between these providers and the UI system.

For most states, additional UI funding was provided during the first year of implementation and only for start-up costs for the development and implementation of the identification, selection and referral, and feedback components of the WPRS system. These UI funds were not to be used to provide reemployment services. Furthermore, in subsequent years, UI funding is only expected to support the administrative costs of profiling. During the first year of implementation, EDWAA supplemental funding was provided to most states to assist them in building their capacity to provide reemployment services. In addition, the substantial increase in EDWAA funding from $500 million in PY 1993 to $1.1 million in PY 1994 was also a source of new funds for providing reemployment services to dislocated workers referred through the WPRS system during this initial year. However, in order to continue to provide reemployment services at adequate levels, it is necessary for states to develop strategies to fund reemployment services for profiled and referred claimants with the existing Wagner-Peyser (ES) and EDWAA funds.[4] The result of having states and, in many cases, local areas develop their own funding strategies is that ES and EDWAA capacity dedicated to profiled and referred claimants will likely vary greatly across, and sometimes within, states. As illustrated by the far left box, factors that may affect this coordination effort include the level of funding for all three systems and the extent of their previous efforts in coordinating services to dislocated workers.

The ES and EDWAA systems themselves will also influence other important aspects of the WPRS systems particularly because DOL's policy required that State

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[4] Unfortunately, funding cuts are being anticipated in both ES and EDWAA in FY 1996. This means that the doubled funding for EDWAA, which was expected to be a primary source of funding for WPRS services in future years as well, may not be available and may affect the supply of reemployment services available to referred claimants.

WPRS implementation proposals be jointly agreed upon by the UI, ES and EDWAA systems. State ES and EDWAA policies can affect the type and content of reemployment services available and provided. The state ES system is likely to play a bigger role in planning reemployment services than the state EDWAA system, because EDWAA is a very decentralized system. Nonetheless, state EDWAA units may require or encourage the local substate areas to provide specific types of services to profiled and referred claimants.

State ES and EDWAA systems may play a particularly important role in developing procedures to provide UI with feedback about profiled and referred claimant's progress in services. They may modify their automated data systems or require local offices to provide routine written reports to UI.

The state labor market information system will also play a role in the effectiveness of worker profiling and reemployment services systems. High-quality information will be required to accurately identify claimants who are at risk of exhausting their benefits. Research shows that workers previously working in declining industries or occupations are at particular risk of being long-term unemployed, and factors related to industries and occupations are included in the DOL model. The quality of the information about declining industries and occupations in the state and local areas, therefore, will influence the ability of the profiling procedures to identify workers truly at risk. In addition, providing dislocated workers with accurate labor market information is an important reemployment service that can influence how quickly they readjust and how effectively they search for reemployment.

The system-level model also illustrates that, although some state policies may directly influence outcomes (e.g., the methods to identify workers at risk), others work indirectly by affecting local policies and procedures. As illustrated in the box labeled Local Policies and Procedures (second from the right), local UI offices must implement state policies, such as matching the number of claimants to local capacity, referring claimants to services, and receiving and acting upon feedback from providers.

Local ES and EDWAA service providers can also strongly influence the implementation and effectiveness of reemployment services. Service providers' policies and procedures on their capacity to serve additional clients, on services available for profiled and referred claimants, and on efforts to provide appropriate and timely feedback to the UI system are all factors that can influence the implementation

and effectiveness of WPRS systems. For example, with regard to services, EDWAA, in particular, is a very decentralized system, with each local substate area having the responsibility of designing services appropriate for local needs. In its EDWAA Implementation Study, SPR found substantial variation in the type and quality of services provided by substate areas, even within a state (Dickinson et al. 1993). Thus, even if the state EDWAA office sets a policy that all profiled and referred workers must receive, for example, job search training, the nature of that training will likely vary greatly among the substate areas within the state. Understanding the nature of local services and the factors that influence those services, therefore, will be important in comparing the effectiveness of different WPRS systems.

Other local factors that will influence WPRS systems are existing relationships between UI and service providers that may help or hinder coordination efforts, EDWAA rapid response procedures, existing services to assist the unemployed, and goals of the local PICs related to serving dislocated workers.

PHASE I STUDY DESIGN

The design of the Phase I implementation study included a variety of data collection efforts. These include:

- Case studies of state and local offices in the prototype and test states.
- Reviews of proposals and reports submitted to the national office about the types of claimants profiled and referred and about the services they receive.
- A customer satisfaction survey of a sample of profiled and referred claimants in the prototype and test states.
- Contacts with other individuals involved in providing technical assistance and in monitoring, primarily DOL technical assistance and regional office staff.

Case Studies

Extensive case studies of the five prototype states and the test state were conducted to get an in-depth picture of how these states designed and implemented their worker profiling and reemployment services systems at state and local levels. A multiple case study method was utilized in order to capture as much of the variation as possible in these early implementing states. The focus in Phase I of the evaluation was on these six states who were furthest along in implementation and from whom, therefore, we would be able to gather the most meaningful information.

The research team conducted site visits to the state office and two local offices of each prototype and test state. The visit to the state office lasted an average of 2-1/2 days and consisted primarily of interviews with administrators who developed and staff who implement WPRS policies and procedures, including respondents in the UI, ES, EDWAA, and labor market information systems. We also gathered copies of written policies and any forms developed for the implementation of the WPRS system (e.g., individual service plans and forms to gather feedback information).

Because local UI, ES, and EDWAA offices play important roles in implementing state policies and delivering services, we conducted two day site visits to each of two local areas in each prototype and test state. These local sites were chosen to represent diverse environments across all local sites. Exhibit I-3 is a summary of these characteristics by local site. The characteristics include size of the UI claimant population, population density, and local economic conditions.

In these local sites, we (a) interviewed administrators and staff in the local UI office; (b) interviewed administrators and staff (including instructors) in the service provider agency that provides the majority of services for profiled and referred claimants (predominately ES or EDWAA); (c) interviewed administrators in the secondary service provider agency; (d) observed a reemployment service for profiled and referred claimants such as orientation, assessment, service planning sessions, job search workshops, job club meetings, and one-on-one job search assistance; (e) conducted a focus group discussion with profiled and referred claimants who participated in the observed service; and (f) reviewed curricula and materials related to the reemployment services provided for profiled and referred claimants.

Site visitors prepared written reports on the state and local visits. Their reports are the main data source for this Phase I Implementation study.

State Proposals and ETA 9048 Worker Profiling and Reemployment Services Activity Reports

Major sources of information were the profiling proposals submitted by states selected as prototype and first wave states and ETA 9048 Worker Profiling and Reemployment Services Activity reports submitted to DOL. The state proposals provide information about each state's planned approach in conducting profiling and providing reemployment services. The information in these proposals are a valuable starting point in tracking states' implementation experiences. Key features of each state's plans were extracted and entered into a State Implementation database.

Exhibit I-3
Characteristics of Local Sites

State	Local Site	Variables: UI Claim Size	Population Density '90 (1000s/mi^2)	Unemployment Rate '92	% Employment in Manufacturing
DE	1	Small	0.19	6.17	14.68
	2	Small	1.04	4.65	20.68
FL	1	Medium	0.05	10.51	5.10
	2	Large	0.79	6.71	8.68
KY	1	Large	0.42	5.36	19.01
	2	Small	0.05	9.94	16.92
MD	1	Small	0.18	10.69	16.78
	2	Medium	1.16	6.87	13.30
NJ	1	Medium	0.71	8.17	18.24
	2	Medium	2.16	7.52	20.19
OR	1	Medium	0.05	7.32	22.33
	2	Large	0.77	6.31	15.91

Information provided by the states on the ETA 9048 WPRS Activity reports were also entered into the database. Most of the states were not able to submit data in time for inclusion in this report. However, the prototype and test states were specifically asked to submit reports on the first and second quarters of the 1995 calendar year. This information is included. More data are expected to be collected from second wave state proposals and future ETA 9048 WPRS Activity reports, and entered into the database during Phases II and III of the study.

Customer Satisfaction Survey

Finally, a customer satisfaction survey was conducted to (a) assess how helpful services were to customers, both overall and for specific services; (b) determine how different types of profiled and referred claimants viewed the helpfulness of services they received; and (c) determine the relationship between customer satisfaction and outcome measures including employment and wage replacement, if available.

The selected sample consisted of 2,100 profiled and referred claimants from the prototype and test states who were profiled and referred between October 1994 and January 1995. The sample was evenly distributed among these states with the exception of Delaware for which we surveyed the entire population of profiled and referred claimants. We expected that many of those in the sample would not have completed their participation requirements. Nevertheless, their opinions regarding services received to date were still expected to be informative.

ORGANIZATION OF THIS REPORT

This Interim Report has a main body as well as extensive appendices. Chapter 1 of the report includes information on the background of the WPRS initiative, the conceptual framework for this evaluation, and the data collection design for information gathered for this Interim Report. The second chapter focuses on the development of partnerships and roles played by partners at the state and local levels in their coordinated efforts to design and implement their WPRS systems. The third, fourth, and fifth chapters follow a claimant's flow through the WPRS systems. Profiling and selection policies and procedures are covered in Chapter 3, services provided for profiled and referred claimants are described in Chapter 4, and feedback mechanisms are specified in Chapter 5. The findings of the customer satisfaction survey are presented in Chapter 6. Chapter 7 includes the conclusions based of this implementation evaluation. We attempt to present issues that arose in the efforts of the early implementing states and how they could affect the experiences of other states.

Finally, descriptive profiles on the WPRS systems in each of the prototype and test states are presented in Appendix A, the results of the Customer Satisfaction survey is in Appendix B, an analysis of non-responses to the Customer Satisfaction survey is included in Appendix C, and information from the State Implementation database is included in Appendix D.

II PARTNERSHIPS AND COORDINATION

The Worker Profiling and Reemployment Services initiative is an early intervention strategy to help UI claimants become reemployed. It includes two fundamental elements: (1) identification of those at risk of UI benefit exhaustion through a profiling process, and (2) provision of appropriate reemployment services. The UI system is a logical avenue for identifying dislocated workers since the majority of dislocated workers collect UI benefits, and they usually begin collecting UI early in their unemployment spells.[1] The UI system itself, however, does not provide reemployment services nor was it the intent of the legislation to have the UI system provide services. Therefore, to carry out the WPRS initiative, it was necessary for the UI system to establish linkages with providers of reemployment services.

In this chapter we discuss the challenges that the case study states and local areas faced, the partnerships that were formed, and how they worked together to form the necessary linkages.

CHALLENGES TO COLLABORATION AND COORDINATION

DOL recognized the need for the UI system and providers of reemployment services to coordinate in order to build linkages between their systems for designing, implementing, and operating a WPRS system. It set up a framework to facilitate partnerships and coordination by requiring that state profiling proposals be signed by the state official responsible for the UI, ES, and EDWAA systems or jointly signed by the officials responsible for each of these systems, if more than one agency/official is involved (US DOL, ETA, Field Memorandum No. 35-94).

Requiring that these three agencies sign off on the proposed design of their state's WPRS system, however, did not eliminate challenges to working together to establish and operate an effective WPRS system. Case studies of the test and prototype states

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[1] Data from the Displaced Worker Surveys indicate that, when workers with very short unemployment spells are eliminated from the sample, more than 70 percent of all dislocated workers collect UI (Congressional Budget Office 1993). Why this proportion is not even higher is unclear, but it may reflect some combination of state eligibility provisions, a tendency among some workers to withdraw from the labor market, and individual incentives. The proportion of dislocated workers who collect UI is much higher than the proportion of all job losers who do so, although the reasons for non-collection may be similar for these two groups (see Corson and Nicholson 1988).

indicated the following challenges; (1) resolving differences in the missions of the different partners, (2) overcoming institutional inertia, (3) establishing knowledge and a real understanding among the partners of each other's systems, and (4) resolving incompatible or conflicting federal regulations.

Different Missions

Although the UI, ES and EDWAA systems in many states and local areas have previously worked together to help dislocated workers, they have generally maintained separate identities in terms of their system's mission, roles, and responsibilities. The UI system, in particular, differs considerably from the ES and EDWAA systems. Although the mission, roles, and responsibilities of ES tend to overlap somewhat with those of EDWAA, differences between them also exist. The differences in their roles and responsibilities are the very features that make coordinating on the WPRS system advantageous, but these differences in system mindsets and approaches to customers presented challenges to collaboration and coordination on the WPRS initiative.

The WPRS system mandates participation in reemployment services as a condition of receipt of UI benefits. The mandatory nature of participation in the WPRS system conforms to the mandatory nature of many states' UI work search and able-and-available requirements. However, it does not correspond well with the voluntary nature of participating in services, particularly those provided by EDWAA. Acceptance of participation requirements with financial penalties has been a major hurdle for the EDWAA system, and to lesser extent the ES system, to overcome in participating in the WPRS initiative.

One of the major tenets of WPRS systems is early intervention. DOL requires that UI claimants be profiled and referred to reemployment services within five weeks of filing their initial claim. As a result of this requirement, profiling must occur almost immediately upon filing of the claim, and referral to services must happen soon thereafter. To profile claimants quickly, all necessary data must be available as soon as possible. In many of the states, the UI system depends on other systems, particularly ES, to provide some of the data, such as recall status and occupation codes. Although most UI systems are accustomed to gathering all the data they need to make monetary determinations at the time of the claim, the ES system is less concerned about the immediacy of such data collection. Customers are allowed to access ES services at any time during their unemployment spell, and typically customers access ES services later

rather than earlier in their unemployment spells. Thus, in several sites, data from ES were not provided quickly enough to meet the intended profiling schedule.

In the case study states, EDWAA was not usually involved in providing data for profiling. Although early intervention is a focus of the EDWAA program, EDWAA services can be accessed by eligible dislocated workers at any time in their unemployment spell. In the WPRS system, however, claimants identified as needing assistance in finding a new job, must participate in reemployment services early in their unemployment spell.

Finally, the WPRS system requires participation in reemployment services only. For those who need it, participation in longer-term training can exempt them from other WPRS participation-in-reemployment services requirements, but longer-term training is not the focus of the WPRS system. The shorter-term assistance philosophy of the WPRS system differs from the emphasis in the EDWAA system on longer-term training. This difference has been a particularly important challenge as UI works with EDWAA to provide reemployment services for the profiled and referred claimants.

Institutional Inertia

A second challenge to close collaboration between systems is institutional inertia that typically plagues many organizations attempting to collaborate. To ask any system to change its way of operating, even to a small degree, can pose institutional difficulties. Organizations are comfortable with the status quo and often cannot envision how to change in order to coordinate efforts and work together effectively. During our case studies, we found that even agencies that are changing in response to national movements, such as the one-stop career centers, are often changing within their own frameworks rather than changing the frameworks themselves. In other words, although these agencies are collocated and have learned about services offered in their one-stop centers, they have not always taken the next step of working together to develop and present services to customers as a single unit.

Each partner faces the challenge of changing the way its system has operated and, in changing, also considering the way its partners must also change to meet the requirements of the WPRS system. Overcoming institutional inertia for any new requirement is difficult; having to do it collaboratively with other systems that must also change compounds the challenge.

Lack of Knowledge of Each Others' Programs

Despite the fact that the UI, ES, and EDWAA systems all serve dislocated workers in some capacity, in the past these agencies have tended to remain isolated from each other. To a large degree, this results from the perception that each system can adequately fulfill its responsibilities to dislocated workers with only minimal awareness of the details of the others' systems. The WPRS initiative represents a growing understanding by DOL that coordination of efforts across different programs can increase and improve services to dislocated workers. When agencies know what each has to offer, the best resources can be accessed for services to the claimant. Lack of knowledge of each others' systems can lead to inappropriate referrals or no referrals at all. The lack of understanding and knowledge about each others' systems can also lead to duplicating efforts in service design and delivery instead of building on what each agency already does.

Federal Regulations

The fourth challenge to effective collaboration results from the fact that these agencies operate under federal aegis and must comply with federal regulations formulated specifically for their agencies. Federal regulations for an agency or program generally facilitate operations and, for the WPRS initiative, have been important influences on the design and operations. However, when different federally-funded agencies or programs are collaborating and coordinating, as is expected with the WPRS system, federal regulations for one agency may be incompatible with those of a potential partner. These incompatibilities may prove to be important challenges to coordination.

One WPRS regulation that proved to be challenging was the presumption of EDWAA eligibility. DOL guidelines state that claimants profiled and selected would also be "eligible dislocated workers" under Title III of JTPA. EDWAA systems in most of the states, however, were not willing or able to accept this presumptive eligibility and continued to require that profiled and referred claimants go through their EDWAA eligibility process. In one of the states, the EDWAA program continued to require profiled and referred claimants applying for EDWAA services to complete the EDWAA application and, in particular, to verify that they have U.S. citizenship and have registered with the Selective Service, if required. In general, EDWAA programs felt that the information collected on the UI claims and Employment Service applications differed substantially in format or content from that collected by their

EDWAA application. Therefore, for most EDWAA programs, it seemed more expedient to simply continue requiring a profiled and referred claimant to complete an EDWAA application and go through the EDWAA eligibility process to assure that the eligibility requirements of enrollees have been met and documented.

In one of the states, the UI, ES, and EDWAA agencies are developing a consolidated application form. That is, the state agencies are working together to develop a form that would collect all the data needed for each of the reporting and eligibility requirements of the different agencies involved. The question remains for others, however, of whether such a comprehensive application form is a reasonable requirement.

The WPRS legislation assumes that the funding for the reemployment services will come from JTPA/EDWAA or Wagner-Peyser/ES funds. In some of the states, however, ES and/or EDWAA have been reluctant to fully participate in the WPRS system fearing that it may be a potential extra burden on their funding. In fact, in some of the case study states, EDWAA had exhausted training funds for the program year and, therefore, could not fulfill its role as a partner.

Furthermore, the EDWAA programs in some states have expressed a concern about their 50% expenditure requirements for training. If EDWAA provides reemployment services to profiled and referred claimants, who generally will not access training services, it could make if difficult to meet their retraining requirements.

The non-comparability of DOL reporting requirements for the different service providers, as well as for the WPRS system, introduced another challenge to coordination efforts. Although the UI system has the responsibility for WPRS reporting requirements, it must depend on the service providers for the information needed for reporting. For example, the need for the UI system to be responsible for obtaining comparable data from different service providers may discourage the UI system from seeking to coordinate with more than a very small number of service providers. Below we discuss the various ways that case study sites attempted to address these challenges to coordination.

PARTNERSHIPS

The composition of the WPRS partnerships in the case study states differed only slightly from state to state. There was more diversity in the membership of the

partnerships at the local levels, although they tended to reflect the state-level partnerships to a large degree.

At the state level, the partners invariably included representatives of UI, ES, and EDWAA substate areas systems. Other major partners in some of the states were also involved in the WPRS effort, such as the labor market information system (e.g., the Office of Occupational and Labor Market Information in Delaware) and the educational system (e.g., the Office of Community Colleges in Oregon and the University of Kentucky's Center for Business and Economic Research). Furthermore, in some of the states, separate state units were also partners, such as those responsible for state research and management information systems. Depending on the organizational structure of the state government, these units reside with ES or UI or as separate units alongside of ES and UI.

At the local level, the UI and ES systems were nearly always extensively involved, while active participation of EDWAA varied from local area to local area. The involvement of other partners also varied but included local community colleges and vocational-technical schools.

Although all of the case study states and local areas used a team approach to designing, implementing, and operating the WPRS system, the leadership of these team efforts differed among the sites and also for different tasks. In most cases, the leadership styles used were composites of the following three modes: (1) single-agency leadership, (2) interagency-core leadership, and (3) task-force leadership for specific tasks.

Single-Agency Leadership

The single-agency leadership mode is characterized by one agency taking the lead for either the entire effort or a substantial part of the effort. For example, at the state level in Delaware, UI assumed the leadership responsibility for the entire effort. Although UI depended heavily on ES and EDWAA for the development and provision of reemployment services, it maintained ongoing responsibility for assuring that profiled and referred claimants received adequate and necessary services. There are two main reasons for Delaware's single leadership mode. First, Delaware viewed the WPRS as a UI mandate and, as such, the responsibility of the UI system. Second, in the early 1980's, Delaware participated in a national initiative, the UI Eligibility Review Program (ERP), whereby UI interviewers serve as case manager for UI

claimants, assessing their reemployment potential and referring them to service providers when warranted. Delaware has continued to operate, as a state initiative, an Eligibility Review Program as part of its UI system. As a result, the reemployment services part of the WPRS system is less foreign to Delaware's UI system than it is to other state UI systems.

In Oregon, ES assumes leadership responsibility for the WPRS effort at the state level for two reasons. First, the organizational structure in Oregon places ES and UI in the Oregon Employment Department. So, although the WPRS-dedicated staff were ES staff, they represent both UI and ES. Second, ES staff feel capable of assuming the lead in Oregon because they have tremendous knowledge of and experience with the UI system; three of the four WPRS-dedicated state staff until recently were UI staff and have years of experience as UI staff.

At the local level, the single-agency leadership mode, although not universal, appeared to dominate. In most places, the ES system assumed the leadership role, although we found a few sites in which UI did so. There are a number of different reasons for the predominance of ES's leadership position. First, provision of reemployment services is perhaps the most important local role. Developing and providing these services are generally the expertise of ES and EDWAA. Therefore, it seems logical that ES or EDWAA would assume leadership positions at the local level. In some of the local areas, however, the EDWAA system continues to grapple with the participation requirement and, therefore, did not assume a leadership role. This does not mean that EDWAA is not a partner, it is just not the lead partner.

Second, the local level office management structure was particularly influential. In local areas where EDWAA was part of the same department as ES, such as in Delaware and until recently Kentucky, EDWAA had a greater likelihood of assuming a leadership role, although being under the same authority was not a necessary condition for a major partnership role for EDWAA.

Finally, funding arrangements reinforce and encourage the leadership roles of different agencies. In Maryland, ES was given the lead in the WPRS system. At the same time, a major part of the 40% state EDWAA funds were given to ES to provide reemployment services for profiled and referred workers. In Oregon, EDWAA national reserve funds were awarded to the ES system; ES gave the funds to the state JTPA office which allocated them to local SSAs for WPRS reemployment services.

The control of these funds by EDWAA instead of ES appears to have led to the assumption of greater leadership roles by EDWAA at the local level. In one of the local sites in Oregon, the JTPA Private Industry Council contracts WPRS services to its EDWAA contractor, a community college. The organization that operates EDWAA for the community college has assumed the leadership position in this local WPRS system.

Interagency-Core Leadership

The interagency-core leadership mode is characterized by the partners of the WPRS team providing equal leadership for at least the majority of the WPRS effort. In Maryland and New Jersey, the state-level leadership mode is an interagency core by definition because the individual leaders represent an authority that oversees two or more partners. This is also true at the local level. For example, in a local site in Florida, the WPRS leadership represents the merged UI and ES Jobs and Benefits office. In these cases, therefore, organizational structures play a deciding role in the mode of leadership. There is power in having this leadership configuration. Individual partners' missions yield to a more encompassing mission and the leadership has greater knowledge of the partners' systems.

We also found examples of interagency core leadership modes with separate and equal representation of the partners. In one of the local sites in Oregon, ES, UI, EDWAA, and the community college were part of the interagency leadership core. Each agency had equal representation in decision-making and relatively equal roles and responsibilities in the operations of the WPRS system. Although there was an acknowledgment that the director of this local Employment Department office would assume ultimate responsibility should it be required, the manner of working together was definitely collaborative, with each partner agreeing that it had an equal voice. Furthermore, one or more of the partners would concede equal participation in a task while assuming greater responsibility for another if that manner of working appeared to be the most beneficial.

Existing relationships were fundamentally important in the formation of the interagency-core leadership mode. The systems involved in this local Oregon site were working together in the state Dislocated Worker Program and had developed a trusting relationship among the partners as well as a common mission to assist dislocated workers. Institutional inertia, though present, is less of a challenge to the partners in this local area than in other local areas. They joined together to form their version of

one-stop centers and, at the time of our visit, were joining with the local school district to propose a collaboration for a school-to-work program.

Task-Force Leadership

The third mode of leadership involves the use of task forces. These task forces are temporary but, when in existence, have nearly complete control over the task for which they were created. In most cases, these task forces were created by the single agency or the interagency core leadership. Examples of such task force leadership include the role played by the Research, Tax and Audit unit in Oregon's Employment Department, the research department of the New Jersey Department of Labor, and the University of Kentucky's Center for Business and Economic Research, all of which led the development of their state's profiling model. In Delaware, a task force of local UI office managers and state UI and ES representation developed a common ES and UI intake form. The use of task force leadership grew mainly out of a need to bring together a group with the best knowledge and ability to complete a specific task in the most timely manner. Although the leadership and, to a lesser degree, the membership of task forces generally included partners who were not part of the core partnership team, representation on the task force almost always included some partners from the core team.

Regardless of which mode of leadership states and local areas used, it did not prevent them from bringing in the expertise and/or resources of other individuals or agencies when needed. Furthermore, the boundaries of these modes of leadership are flexible. For example, interagency core leaderships at times looked very much like single agency leadership in some states. Also, perhaps without exception, interagency core leaderships and single-agency leaderships have formed some task forces. The ability to remain flexible and to allow the most effective leadership style to take control, while assuring that leadership responsibilities are clearly delegated, characterize successful efforts we encountered in the case study sites.

AREAS OF COORDINATION

The coordination linkages that partners established depended to some extent on the areas of coordination. Although the roles of the different partners for specific aspects of the WPRS system will also be described in detail in subsequent chapters, below we present an overview of these coordinating efforts. We describe the different coordination linkages partners used for the development of policies and procedures, the development and provision of reemployment services, and in funding arrangements.

Of particular interest in this section is the coordination efforts between the state and local offices, which were also quite diverse across states and across areas of coordination.

Developing Polices and Procedures

A major area of coordination both at the state and the local levels was the development of WPRS policies and procedures. A summary of the coordination efforts in the development of statewide WPRS policies and procedures is presented in Exhibit II-1. State UI, ES, and EDWAA agencies were all represented to some degree in the development of statewide policies and procedures. Other partners, such as the labor market information system or other units within the UI, ES, or EDWAA systems, were added when necessary such as in the development of the profiling model. In some states, the task of developing policies and procedures was one of shared responsibility at nearly every step including conceptualization and implementation. More often, however, we found that one system took major responsibility for drafting the policies and procedures while other systems reviewed and commented, because of the relatively short amount of time states had to implement their WPRS systems.

At the local level, partners also worked together to develop policies and procedures. In some states, the amount of local decisionmaking was limited and therefore coordination efforts simply required working out some logistics. In other states, greater discretion was given to local areas for developing various aspects of the WPRS system, which necessitated greater collaboration and coordination. As expected some of the local areas involved mainly UI and/or ES in the development of policies and procedures while in other local areas the decisionmaking team included EDWAA and, though less often, educational systems.

Although decisionmaking on many development issues is centered at the state level, daily operations are the responsibility of the local areas. Thus, the success of implementation and the effectiveness of the WPRS system are vitally dependent on the operations at the local level. Procedural manuals, training sessions, and ongoing technical assistance are important ways that the state offices transfer knowledge and understanding of the WPRS policies and procedures to the local offices. What also appears to be important in how well local implementation proceeded was the partnership of the state and local offices in the development of policies and procedures. When the local offices felt they had a significant voice in the design and development

Exhibit II-1
Coordination Efforts for Developing Statewide Policies and Procedures

State	Coordination Efforts
DE	State UI, ES, EDWAA directly involved Local UI involved in developing UI/ES form
FL	State UI, ES, SJTCC directly involved One local UI, ES reviewed design
KY	State UI, ES, EDWAA directly involved Some local UI, ES directly involved
MD	State UI, ES, EDWAA directly involved Local UI, ES, EDWAA invited to comment on initial design
NJ	State UI, ES, EDWAA directly involved Local UI, ES, EDWAA reviewed New Jersey's Region IV pilot tested the process before going statewide
OR	State UI, ES, EDWAA directly involved State Office of Community College reviewed Local UI, ES, EDWAA, some community colleges reviewed

of their WPRS systems, they tended to be more proactive in developing local operations that they felt were responsive to local needs and would, therefore, be more effective.

States have two major ways of working with the local areas to make them actual partners in this WPRS effort. The first is to involve locals in the planning and development of statewide policies and practices. The second is to design a statewide system that is flexible and allows for local modifications in major aspects of the system.

States varied in how they involved local offices in the design and development of policies and practices. Some states attempted to involve all of the local areas, others selected local areas to represent their point of view. In some states, although the state reported that it solicited input from the local offices, the local offices felt otherwise. Oregon conducted two statewide meetings in which locals had input on the design and policies and procedures drafted by the state office. The timing of these meetings was crucial in how involved locals felt in the development of the WPRS system. The first meeting was held before the proposal was submitted to DOL; the second immediately after award of the prototype contract. Kentucky directly involved some of its local offices in the design and development of policies and procedures. Maryland invited all local UI, ES, and EDWAA systems to react to their initial design. Florida invited one of its larger offices to review and comment on the design. New Jersey involved the local offices in an unusual partnership for the development of policies and procedures. Before statewide implementation, the offices in one of New Jersey's regions pilot-tested the procedures to detect problems as well as test UI claimants' response to mandated participation. This pilot testing by a few local offices lent credibility to other local offices that the system designed by the state office can work.

The second state-local partnership strategy was to allow local offices substantial flexibility to add and modify aspects of the statewide WPRS system. In Oregon, local offices were told that this first year of the WPRS initiative was a pilot year and that they were allowed and expected to make changes to their local systems with approval from the state. Designating the first year as a pilot year appeared to have the effect desired in the two local areas we visited. Many changes were being made, particularly with regard to the reemployment services being offered and required. The state office in Florida also attempted to build in potential flexibility for local areas to design a WPRS system responsive to the local area. However, the local case study sites were uncertain about the degree of discretion they have, which hindered their taking more control in the design and operation of their local system.

Developing and Providing Services

How the state office worked in partnership with the local offices is also relevant in the area of developing and providing services. A summary of coordination efforts at the state and local levels in the design and operation of reemployment services is presented in Exhibit II-2. Although some states were more prescriptive about the content of the reemployment services than others, all states provided guidelines that

Exhibit II-2
Coordination Efforts For Design and Delivery of Services

State	State Involvement	Local Involvement
DE	UI, ES, EDWAA provided script for orientation	UI, ES, EDWAA modify state orientation script UI & EDWAA present orientation EDWAA conducts assessment interview & develops ISPs ES or EDWAA provide reemployment services
FL	UI, ES suggested job search workshop topics; provided notebook of materials for orientation and workshop; provided assessment questionnaire	UI, ES develop job search workshop based on state topics UI, ES present orientation, conduct assessment EDWAA makes short presentation at orientation or job search workshop
KY	UI, ES, EDWAA determined services provided and how delivered; developed orientation video, Profiling Prescreening Questionnaire, & Job Seeking Skills assessment; suggested content of job search workshop	UI, ES, EDWAA modify orientation, job search workshop based on state recommendations UI, ES, EDWAA present orientation ES and/or EDWAA do assessment, develop ISP ES or EDWAA provide other reemployment services
MD	UI, ES requires workshop covering 5 topic areas	UI, ES developed job search workshop based on state core topics ES presents job search workshop, EDWAA may be involved but not required
NJ	ES developed 12-hour job search workshop; provided orientation outline; developed preliminary and individual service plan forms	ES modify state-developed job search workshop ES presents orientation, assessment ES presents job search workshop and provides other reemployment services
OR	UI, ES developed individual service plan form, required topics for orientation EDWAA provided input	Local partners (usually UI, ES, EDWAA, CC) develop and present orientation, conduct assessment and develop ISP ES, EDWAA, community colleges provide reemployment services

were intended to focus and facilitate the development of local services. We found that states relied heavily on what the local service providers were typically providing to develop WPRS Services. Generally, only the content of orientation and a job search workshop specifically for the WPRS system were developed.

Regardless of the coordination between state and local areas, coordination between partners was necessary for either or both the development and provision of reemployment services. We found that, in most sites, ES assumed the responsibility for either creating or modifying the content of services to be provided to profiled and referred claimants. In some of these areas, UI and/or EDWAA was also involved. In most cases, however, the involvement of EDWAA was limited to presentation of information on EDWAA at the WPRS orientation or job search workshop and the provision of training services through eventual referral. It was only in a few sites that EDWAA had a substantial role in orientation and/or other reemployment services. In Delaware, for example, EDWAA conducted the assessment of the profiled claimants. In Oregon, the recommended job search workshop was a workshop developed primarily by EDWAA for a state dislocated worker program. Therefore, in the two local Oregon sites that we visited, EDWAA also had the lead role in the modification and presentation of this workshop to profiled and referred claimants.

Funding Arrangements

Coordination of funding efforts to serve WPRS customers also differed in the states and local areas. These arrangements ranged from simple "in-kind" use of agency funds to specified per-WPRS customer costs from specified funding sources. All of the states dedicated ES staff, who are supported on Wagner-Peyser funds, to serving WPRS customers. EDWAA substate formula funds were dedicated for WPRS in Delaware, Kentucky, Maryland, New Jersey, and Oregon. Maryland provided EDWAA state 40% funds directly to ES to provide reemployment services. Florida, Kentucky, New Jersey, and Oregon received EDWAA National Reserve Funds specifically for serving WPRS claimants. In Oregon, funds for a state dislocated worker program were also dedicated to providing reemployment services to WPRS customers.

FACTORS INFLUENCING COORDINATION

There are many reasons why the partnerships and coordination mechanisms came together as they did. Existing relationships and organizational structures had a substantial influence on which partners were included at different times in the WPRS

effort. When appropriate for their WPRS systems, these sites attempted to build on relationships and the coordination mechanisms already established in their state and local areas. In fact, DOL selected the prototype states because of the strong coordination linkages they already had in place, on the assumption that these states could more quickly build effective WPRS linkages.

These ongoing partnerships and coordination efforts were often brought into existence and largely influenced by other national and/or state initiatives. A primary influence on coordination efforts is the national movement towards one-stop career centers. It has driven governmental agencies and programs to begin working together to provide well-integrated services to their customers. In our case studies, we found variants of one-stop centers already established in a few different local areas. In one Florida site, the one-stop shop center includes the merged UI and ES offices, two SDAs, and several other government agencies. A local Oregon site has established "First Stop" centers that include the Employment Department (UI and ES), JTPA, the local community college, and the Adult and Family Services agency. Although progress towards one-stop career centers is further along in some states and local areas, the idea is definitely taking root and supporting efforts by potential partners to think about a common mission and compelling them to learn about each other and begin to conquer institutional inertia.

Another major influence on effective collaboration in local WPRS efforts is the move towards collocation of the UI, ES, and/or EDWAA offices. This transition has not always been an easy one for local areas. At two sites we visited, lingering effects of confusion over management authority have hindered coordination efforts for the WPRS initiative. On the other hand, in local areas where collocation is well-established, it tends to facilitate collaboration and coordination. UI, ES, and EDWAA were collocated at the time of our site visits in six of the twelve local sites visited; UI and ES were collocated in four of the local sites; no collocation had taken place in one site; and in the last site, UI and ES were merged but two offices were still being maintained, with intake and ES services provided in one office and renewal of claims and adjudication handled in the other.

Physical proximity from collocation meant that the logistics of working together and providing services together for the dislocated workers were easier to work out. Also, residing in the same office usually meant that each program had more than a passing knowledge of the others. In fact, in some local offices, staff were cross-trained

or had worked at one time in their careers for UI and another for ES or EDWAA. This made acceptance of the two-pronged concept of the WPRS initiative, profiling and mandatory participation in reemployment services, less of a challenge.

Past and present state-level initiatives have introduced the idea of collaboration among different agencies and in some states and local areas have produced effective working relationships that serve the WPRS system well. For example, in Florida, the Training Candidate Program was a UI program that used characteristics screens to identify claimants to be referred to EDWAA substate areas for services. This program introduced a link between UI and JTPA. The Fast Track Program operated in Maryland in the 1980's and referred selected UI claimants to ES caseworkers who would help them get appropriate services and organize their job search.

Delaware's participation in the national UI Eligibility Review Program (ERP) in the early 1980's, which Delaware has continued to operate as a state initiative, appears to have a major impact on the role the UI system has assumed for WPRS. UI ERP interviewers are required to assess, both up front and periodically, the needs of UI benefit recipients and to provide them with referrals to appropriate ES and EDWAA services. This substantial involvement of UI staff in case management-type services is unique among the case study states. Although Delaware's UI system has delegated the development and provision of reemployment services for the WPRS system to their ES and EDWAA providers, the UI system remains more intimately involved than in other states in assuring that the profiled and referred claimants receive needed services.

Other initiatives more directly affected the formation of partnerships and coordination linkages for the WPRS initiative. Perhaps the ultimate in direct influence is New Jersey's involvement in the demonstration that gave birth to the WPRS initiative: the New Jersey Unemployment Insurance Reemployment Demonstration Program, NJUIRDP. The demonstration introduced the linkage between UI, ES, and JTPA Title III programs. Further, the state's Workforce Development Partnership Program (WDP) continued to foster the partnership between UI and ES that the NJUIRDP began and brought JTPA into a contractual relationship with ES and UI. Through the WDP program, ES counselors help unemployed workers design employment development plans that may include training either through JTPA or WDP funds. These two initiatives placed New Jersey in a most advantageous situation for developing effective collaboration for WPRS.

Similarly, the state of Oregon had an influential antecedent to the WPRS initiative. The Oregon Dislocated Worker Program (ODWP) was a state initiative to help dislocated timber workers. The program is operated by a partnership between the Employment Department, which includes UI and ES, JTPA, and the Office of Community Colleges. The legislation creating the program also established Workforce Quality Regions within the state. Workforce Quality committees in each region are responsible for approving and assuring an alignment of all employment and training efforts. In most local areas, the partnerships already established for the ODWP came together to plan and implement the WPRS initiative.

Well-established working relationships with other agencies helped bring them together as partners in the WPRS effort. The Kentucky Department of Employment Services (DES) has a history of working with the University of Kentucky's Center of Business and Economic Research (CBER). DES and CBER agreed that their partnership was a logical one for the development of the profiling model and procedures. CBER had a major role in the development of the profiling model and, at least initially, conducts the profiling for Kentucky.

The organizational structures of the states and local areas were also important influences in partnerships that were formed. Exhibit II-3 and II-4 show the organizational structure of the case study states and local offices, respectively, indicating under which authority UI, ES, and EDWAA are located. In Delaware, Florida, Maryland, and New Jersey, UI, ES and EDWAA are all under the same department while in Oregon, UI and ES are under one authority and EDWAA is under another. Kentucky was in the unique position of transitioning from having UI, ES, and EDWAA all under one authority to a structure where EDWAA was placed under a separate authority.

Exhibit II-3
State Organizational Structure

State	Structure
Delaware	Department of Labor Division of Unemployment Insurance (UI) Division of Employment and Training (ES, EDWAA) Office of Occupational & Labor Market Information
Florida	Department of Labor and Employment Security Division of Unemployment Compensation (UI) Division of Labor, Employment, and Training (ES, EDWAA)
Kentucky	Cabinet for Human Resources Department for Employment Services (UI, ES) Workforce Development Cabinet Office of Training and Reemployment (EDWAA)
Maryland	Department of Economic & Employment Development[2] Employment and Training Division (UI, ES, JTPA)
New Jersey	Department of Labor Employment Security & Job Training (UI, ES. JTPA)
Oregon	Employment Department (UI, ES) Economic Development Department (JTPA) Office of Community College

[2] The name of the department has since been changed to Maryland's Department of Labor, Licensing, and Regulation.

Exhibit II-4
Local Organizational Structure

State	Local Site	Structure
DE	1	UI, ES, EDWAA collocated; separate office managers for UI and DET (ES/EDWAA)
	2	UI, ES, EDWAA collocated; separate office managers for UI and DET (ES/EDWAA)
FL	1	UI, ES merged into Jobs and Benefits Office, still maintains 2 offices: (1) intake & services; (2) re-filed claims & adjudication; separate supervisors for UI and JS EDWAA representative located in J & B office 3 times a week
	2	UI, ES merged into Jobs and Benefits office, located in One-Stop shop with 2 SDAs, & other government agencies; one Jobs and Benefits office manager
KY	1	UI, ES, EDWAA collocated until 7/95 when EDWAA contract awarded to local PIC; one office manager
	2	UI, ES, EDWAA collocated; one manager
MD	1	UI, ES collocated; one manager EDWAA within walking distance
	2	UI, ES collocated; one manager EDWAA stand alone facility
NJ	1	UI, ES separate offices in same building; separate managers EDWAA separate office
	2	UI, ES combined into one office; one manager EDWAA in same building
OR	1	UI, ES collocated, one manager EDWAA separate office
	2	UI, ES collocated, one manager EDWAA contractor collocated office, different manager

Being under the same authority allows for a shared understanding about the governance structure which appears to help the different systems think more collaboratively. In some states, being under the same authority also meant that systems generally thought of themselves as a single working unit with diverse program responsibilities. In Delaware, for example, ES and EDWAA are in the Division of Employment and Training (DET) and, although staff are assigned to work responsibilities of specific programs, they refer to themselves as DET staff. Similarly in Oregon, UI and ES are in the Employment Department (ED) and staff are generally referred to as ED staff although there is a definite UI and ES division of labor in collocated offices and in some local areas UI and ES maintain separate offices. Being under the same authority gives these systems opportunities to work together.

In some states, being under the same authority was particularly important because it allowed the overarching authority to greatly influence a working relationship among the different systems. In Maryland, the UI, ES and EDWAA systems all reside in the Division of Employment and Training. The assistant secretary for the Division played an important role in the design of the WPRS system, and his authority over all three systems facilitated the forging of the coordination linkages designed for Maryland. In New Jersey, the assistant commissioner of the Employment Security and Job Training division under which UI, ES, and EDWAA reside stated that the agencies would work together on the WPRS effort. To facilitate the partnership, all communications that went to one system also went to the other.

CONCLUSIONS

Existing partnerships and working relationships were tremendously influential in the extent of collaboration and coordination present in the design, implementation, and operation of WPRS systems. Established trust and understanding of each others' systems appeared to be facilitating factors. Effective communication patterns and expectations that already exist in these working relationships are especially important in collaborating and finding the best coordination linkages.

Many of these existing relationships in states and local areas were created by other national and state initiatives and movements. Some of these, like the one-stop career centers concept, have induced the different systems to look ahead in anticipation of working together. Other initiatives have had different systems working together in the past as well as in the present. The success of such collaborations has eased the way for the partnering required of the WPRS system. In addition, the existing relationships

between the state and local offices as well as how the state office chose to involve local offices in the development of the WPRS systems influenced the success of implementation and operation of these systems.

Case study states and local areas also report that the WPRS initiative has motivated them to work together more collaboratively. We heard in some of the sites that the WPRS initiative facilitated their ability to move toward one-stop centers and integrated service systems. Nevertheless, fully developed and well-established coordination linkages and highly collaborative working relationships are difficult to achieve. The good working relationships that have developed among different agencies in the states and local areas we visited have come about through long-term efforts and high levels of commitment by those involved.

III PROFILING AND SELECTING CLAIMANTS

A key element of the Worker Profiling and Reemployment Services (WPRS) systems was the method by which claimants were selected for and referred to services. To select claimants, five of the six case study states used a two-step profiling model generally based on the DOL prototype (U.S. Department of Labor, 1994). In the first step, a series of screens were used to identify claimants who were permanently separated from their previous employer. In the second step, a statistical model was used to predict, for each claimant, the probability of exhausting UI benefits. Claimants with the highest probabilities of exhaustion were referred to reemployment services.

One of the six case study states, Delaware, did not use a statistical model in the second stage of the profiling model, but instead used a second series of screens that were intended to identify claimants who were likely to exhaust their benefits, much like a statistical model. Once this group was identified, Delaware selected a random sample of claimants from this group to be referred to reemployment services. Delaware used characteristics screens rather than a statistical model to profile claimants because the state lacked the historical data necessary to estimate a statistical model. Administrators in Delaware wanted to use a statistical model for profiling, similar to those used in the other case study states, and they planned to do so in the near future after they collected the necessary data.

In this chapter, we discussed the details of the profiling models used in each of the case study states. We also described the policies and procedures for notification and referral of claimants who were identified for services by the profiling models.

PROFILING METHODS

The details of the profiling methods used in each of the case study states were summarized in Exhibit III-1. The table showed, as was discussed above, that all but one of the case study states used a combination of characteristic screens and a statistical model to profile claimants, while Delaware used only characteristics screens. The rest of the information presented in Exhibit III-1 was discussed in this section.

Development of Models

Some case study states developed their own models, while others got assistance. Delaware, Oregon, and New Jersey each developed their own models, although New Jersey consulted with Mathematica Policy Research (MPR) because MPR was at the same time

Exhibit III-1 (continued)
Profiling Methods

State	General Methods	Screens	Estimation Methods	Dependent Variable	Independent Variables	Sources of Data	Comments
NJ	Two stages: characteristics screens, then a statistical model	Excludes interstate claims, union hiring hall, partial payments, and claimants with no payment in the first five weeks after initial claim.	Logit	Binary benefit exhaustion indicator	Education, job tenure, industry, unemployment rate, UI weekly benefit amount, base year earnings, indefinite recall status.	Initial UI claim, state LMI data	
OR	Two stages: characteristics screens, then a statistical model	Excludes claimants who expect recall, union hiring hall, tenure of at least two years, separation for other than lack of work.	Logit	Binary benefit exhaustion indicator	Education, work history, industry wage replacement, location, veteran ,[9] job tenure.	Initial UI claim, UI wage files, State LMI data	3 criteria for inclusion of independent variables: significant t-scores, contribution to F-score, cost of changing forms and computer files.

[9] Oregon has subsequently removed veteran status from their profiling model in response to a DOL policy decision to prohibit the use of such a variable.

Exhibit III-1
Profiling Methods

State	General Methods	Screens	Estimation Methods	Dependent Variable	Independent Variables	Sources of Data	Comments
DE	Two stages of characteristics screens	First stage: excludes interstate claims, union hiring hall, recall date. Second stage: includes first pay, tenure > 3 yrs, declining or slow growth industries and occupations.	NA	NA	NA	Initial UI claim, ODDS data from ES registration, UI wage records	Plan to develop and use a statistical model.
FL	Two stages: characteristics screens, then a statistical model	Excludes interstate and transitional claimants, seasonal, recall date, union hiring hall, first payment > 42 days after initial claim.	Logit	Binary benefit exhaustion indicator	SDA unemployment rate, job tenure, education, occupation, industry.	Initial UI claim state LMI data	Statistical model was developed by MPR as part of the JSA Demonstration.
KY	Two stages: characteristics screens, then a statistical model	Excludes interstate claimants, definite recalls, and union hiring hall.	Tobit (corrects for truncation of dependent variable, best fit)	Proportion of UI benefit entitlement collected	Previous wage, benefit parameters, reservation wage, pensions, other assistance receipt, prior UI receipt, industry growth, occupation growth, job tenure, work experience, reason for separation, county unemployment rate, county employment growth.	Initial UI claim, ES registration, UI wage records, and state LMI data	Model estimated for separate Area Development Districts (ADDs) and groups of ADDs. Statistical model developed by CBER at U of K., who currently scores claimants.
MD	Two stages: characteristics screens, then a statistical model	Excludes interstate claimants, recall date, union hiring hall, temporary layoff.	Logit	Binary benefit exhaustion indicator	Education, job tenure, occupation, industry, unemployment rate.	Initial UI claim, ES registration, published BLS data	

estimating a similar model as part of their six-year follow-up study of the New Jersey UI Reemployment Demonstration Project. The other three case study states had more active assistance from outside state agencies. Maryland, which was the first state to test the use of a statistical profiling model in the field, worked with a team from DOL to develop and test their profiling model.[2] Florida's model was originally developed by MPR for the Job Search Assistance Demonstration, which was being conducted in ten Florida UI offices. Florida used the same model in WPRS to profile claimants in the nondemonstration offices. Kentucky hired the Center for Economic and Business Research at the University of Kentucky to estimate and test their model.

Basic Modeling Decisions

The development of the models involved a series of decisions about the specifications of the models. In this section, we compared the specifications of the models in the case study states and described the basis for the decisions about the specifications.

Characteristics Screens Used

All of the case study states used characteristic screens as part of their profiling models. The screens that were used in the first step of profiling to identify permanently separated claimants. The screens used in this first step tended to be similar across states, as they generally followed the DOL guidelines set out in UI Program Letter 13-94 (U.S. Department of Labor, 1994). All of the states excluded claimants who were members of a union hiring hall or who expected to be recalled to their previous employer (Exhibit III-1). With respect to recall, most states excluded only claimants with a definite recall date, but Oregon excluded all claimants who expected to be recalled, even those without a recall date. New Jersey excluded claimants with a definite recall date in the first step of profiling, but also accounted for less definite recall expectations in the second step of profiling (see discussion of explanatory variables below). The exclusion from WPRS of claimants who were from a union hiring hall or had a recall date followed the example of the New Jersey UI Reemployment Demonstration Project and the prototype model developed by DOL (U.S. Department of Labor, 1994). These exclusions were made because claimants with a recall date were unlikely to exhaust their UI benefits and members of a union hiring hall obtained job placements and referrals through their union, and thus did not need reemployment services.

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[2] The development and testing of the Maryland model was discussed in U.S. Department of Labor (1994).

The states also excluded individuals with interstate claims and transitional claims, for whom mandatory reemployment services were considered inappropriate. Some states (Florida and New Jersey) excluded claimants who were seasonal workers, but had no definite recall date. Maryland considered a similar exclusion based on their early experience with profiling. Workers from the seafood and tourism industries who did not have a definite recall date, but who returned to the same employer year after year were being referred to services under their current model. Local administrators strongly felt that it was inappropriate for these claimants to participate in mandatory employment services.

Although most states used a statistical model in the second step of the profiling model to target long-term unemployed, Delaware used a second set of characteristic screens. Delaware chose not to use a statistical model because the state lacked the historical data necessary to develop a model of UI exhaustion probability.[3] The Delaware screens directed services to claimants who had been with their previous employer for more than three years and were from declining or slow-growth industries and occupations.

One problem that Delaware encountered in using these screens was that far too many occupations were being identified as slow-growth occupations. This problem was caused by the translation of occupation codes from one coding system (Occupational Employment Statistics, OES) to another (Dictionary of Occupational Titles, DOT). The definition of slow-growth occupations were based on occupations having employment growth below the average growth rate for all OES-coded occupations. But the codes were then translated to DOT codes, which were more broadly defined. One administrator in Delaware reported that about 80 percent of all occupations were defined as slow-growth occupations after the coding translation. Consequently, Delaware began re-evaluating the cutoff used for defining slow growth occupations.

Dependent Variable and Estimation Method

The states that used statistical models generally used the DOL profiling prototype as a basis for their models. Four of the five states that used statistical models specified a binary indicator of UI benefit exhaustion as the dependent variable. These four states all estimated the models of benefit exhaustion using logit regression analysis, which was also used by DOL

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[3] Since October 1994, Delaware started collecting the historical data necessary to develop a statistical model as part of their WPRS system.

to estimate the prototype.[4] The fifth state (Kentucky) used a somewhat different model developed by the Center of Business and Economic Research. In this model, the dependent variable was specified as the proportion of benefits collected. Researchers at the Center adopted this dependent variable because they felt it provided greater information than the simpler binary exhaustion indicator. After experimenting with several estimation methods, the researchers at the Center decided to estimate the model using Tobit regression methods because they felt it provided the most accurate predictions. Oregon also experimented with several estimation methods before deciding to use logit regression analysis.

Explanatory Variables

The states that used a statistical model used similar sets of explanatory variables that were specified as determinants of the probability of benefit exhaustion. The models generally followed the requirements set out in UI Program Letter No. 13-94 (U.S. Department of Labor, 1994). The states tended to start with the DOL prototype, which included education, job tenure, industrial and occupational employment trends, and the unemployment rates. However, the exact variables included in the models also depended on some other factors. First, state administrators had their own ideas about variables to be included in the statistical model. Second, many states experimented with different specifications and evaluated the estimated coefficients and the associated statistics. For example, Oregon considered the statistical significance test results, including the t-statistics and F-statistics, associated with different specifications before deciding on a final model. Finally, the states considered the cost of changing forms and computer files to collect the data to be included in the model. In Oregon, administrators reported that this was a major factor in determining the specification of the model.

The most common explanatory variables included in the statistical models related to job tenure, education, occupation, industry, and local unemployment rates. The unemployment rate was typically treated as a continuous variable, while the other characteristics were often represented by sets of binary indicators. In the case of occupation and industry, some states attempted to represent the rate of employment growth in a claimant's industry or occupation, while other states simply used separate indicators for each industry or occupation. In some cases, the decision to use the separate indicators was made because the employment growth rates were not found to be statistically significant in the estimated UI exhaustion equation.

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[4] The DOL model used a binary dependent variable based on the length of unemployment rather than exhaustion of UI benefits (U.S. Department of Labor, 1994).

Some states included separate indicators for local offices. Oregon used two local office indicators, one for the Portland metropolitan area and one for Lake County, instead of a local unemployment rate variable because the two binary variables were found to adequately capture the effect of the unemployment rate across the state. Since the number of claimants to be served in a given office was usually predetermined, the usefulness of including office indicators (or any other office-specific factor, such as local office unemployment rates) as explanatory variables in the statistical model was limited. This was because in the decision about which claimants in an office got service, claimants effectively were competing against other claimants in the same office but not against claimants in other offices. So the fact that claimants in Portland tended to have higher average probabilities of exhaustion than other Oregon claimants affected neither the number of claimants nor which claimants received services in Portland. The inclusion of office-specific explanatory variables probably generated more accurate estimated coefficients for the other explanatory variables if the averages of these other variables varied by region. In addition, Oregon could decide to direct more resources to the Portland office based on the higher exhaustion rate there. The estimated coefficient on the Portland indicator could be used to determine how much resources should be redistributed to Portland claimants.

Another type of variable included in the models was the parameters of UI benefit receipt for each individual claimant. These data were used in two different ways. In New Jersey, the UI parameters were treated the same as the other variables included in the model—they were included in estimating the model and they were used to calculate predicted probabilities of exhaustion. In contrast, the estimated Florida model included UI parameters, but the parameters were all set to their mean values in the calculation of each claimant's predicted probability of exhaustion. The New Jersey approach was chosen because the UI parameters added to the explanatory power of the benefit exhaustion model. The Florida model included UI parameters for the same reason. However, one of the parameters, the potential duration, was especially important in the model because many claimants in Florida had short potential UI spells and a high proportion of these claimants exhausted their benefits. To avoid targeting benefits on these claimants with short potential durations, Florida decided not to vary the predicted probability of exhaustion with respect to variation in the UI parameters. Accordingly, they dropped the UI parameters from the calculation of exhaustion probabilities.

The most detailed model used in the six states was that in Kentucky. Three things set the Kentucky model apart from those in the other states. First, the model used a different dependent variable, as discussed in the previous section. Second, the model contained a large

number of explanatory variables, including those related to a claimant's previous wage, UI benefit parameters, reservation wage, pensions, assistance receipt, prior UI receipt, industry growth, occupation growth, job tenure, work experience, reason for separation, county unemployment rate, and county employment growth. Third, the model was estimated separately for different geographic regions, as discussed in the following section.

Geographic Variation

Some states were concerned that applying the same model to the entire state would not be appropriate. In fact, Kentucky developed separate models with identical variables for eight Area Development Districts (ADDs) or groups of ADDs. At least two other states, Florida and Maryland, considered estimating different profiling models for different regions. The benefit of estimating separate models for different regions was that the explanatory variables of the model were allowed to have different impacts on the probability of exhaustion in different regions. For example, the statistical relationship between education and the probability of exhaustion could be different in a region where professional employment dominated as opposed to a region with greater manufacturing and production employment. The result of estimating separate models for two such regions might be that highly educated claimants would be more likely than other claimants to be referred to services in one region, but less likely in the other region. Estimating separate models could therefore be especially useful in states that had diverse labor markets that could be defined as separate geographic regions.

Sources of Data for Profiling and Selecting Claimants

All of the states used the initial UI claim form as the primary source of data for profiling. Some states (New Jersey and Florida, for example) changed the form to include additional data items, such as information on job tenure or recall expectations, that were needed to profile claimants.

Some states in which ES registration was mandatory, such as Maryland, also used the ES registration form as an additional source of data for profiling. In Maryland, this required a transition period in some offices that were previously not requiring all claimants to register with ES. During this transition period, the UI claim form was revised temporarily to include the data that would eventually be collected through mandatory ES registration.

The ES registration was typically used in the case study states with mandatory ES registration as a source of data on the occupations of claimants. In states where ES registration was not mandatory, the state may not have a good source of data on occupations.

In New Jersey, for example, not every claimant registered with ES, so the state had no source of data on occupation, and therefore no occupation variables were included in the profiling model. But the state initiated the coding of occupation for all claimants as part of their initial UI benefit application. Using these new data, New Jersey intended to include occupation in the model in the future.

Three states (Kentucky, Oregon, and Delaware) also used information on previous employment from the UI wage records. Delaware and Oregon used the wage records to calculate job tenure for their characteristic screens. In addition, Oregon and Kentucky used the wage records data to create variables related to previous employment in their statistical model.

Most of the states linked data from other sources with information from state LMI records. For example, New Jersey compiled data on employment growth by industry using their LMI records. The data on industrial employment growth was then linked to each claimant based on their industry of employment, and the resulting industry growth variable was used as one of the variables in profiling claimants. Maryland compiled similar data, but the data were drawn from Bureau of Labor Statistics publications rather than from their state LMI records.

Some states encountered problems in implementing the process of gathering the necessary data. For example, Delaware had trouble in obtaining data on occupation. Since the use of characteristics screens required data on every item included in the screens, those claimants for whom the data were missing could not be selected for services. The source of the missing occupation data had still not been identified at the time of our visit. Delaware had also trouble converting OES occupational codes used by the LMI office into comparable DOT codes used by the Department of Employment and Training. At the time of our visit (March 1995), they had not yet settled on a satisfactory procedure for this conversion.[5]

Claimants Selected for Services

According to the state and local administrators, the claimants selected by the profiling models were either similar to the general claimant population, or they tended to be more

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[5] Subsequent to the site visit, Delaware determined that the problem with converting occupation codes was caused by the fact that some occupations, although considered "slow growth" or "declining" occupations, have a high turnover rate, which created a large number of job openings. To resolve this problem, Delaware created a new DOT code table that led to the screening out of claimants in these high-turnover occupations. This change was discussed with DOL national and regional office staff and was implemented in May 1995.

highly-educated and more likely to be professional workers than other claimants. In most states, the probability of exhausting benefits was positively correlated with job tenure, so many of the claimants selected for services were older, stable workers who were with their previous employer for many years. In at least two of the states, benefit exhaustion was also positively correlated with education. The profiling models in these two states therefore implied that services were specifically targeted to more highly-educated claimants in the states.

While many administrators expressed satisfaction with the profiling models, other administrators, especially those in local offices, believed that the models selected many claimants who did not need reemployment services. The most common complaint was that the profiled claimants were relatively highly-educated, highly-skilled workers who already knew how to find a job in their field. One state administrator claimed that the profiling model targeted services to a group of highly educated claimants who have worked at the same place for a long time, and that these types of claimants were reluctant to participate in services. However, other administrators responded to this claim by pointing out that all claimants, not just those identified by the profiling models, were reluctant to participate in services. Some local administrators mentioned that younger claimants with relatively unstable work histories might be a better target for profiling services than the workers with stable work histories that tended to be served now.

Concern among some Florida state administrators about the claimants identified by the profiling model led the state to investigate alternative profiling models. However, not all of the Florida administrators were dissatisfied with the model. One official claimed feedback from local offices suggested that the profiling model identified an appropriate group for WPRS—claimants who were likely to exhaust their benefits and needed help in searching for a new job.

Part of the dissatisfaction with the profiling models could also be due to a lack of understanding of the process by which the models selected claimants. A state administrator in Florida mentioned that it would be better to use characteristics screens rather than a statistical model because the screens were more transparent and easily understood.

Regardless of the objections to the claimants selected by the profiling models, the models clearly identified claimants who were most likely to exhaust their benefits. For example, for the sample used to estimate Florida's profiling model, the average exhaustion rate for claimants screened out in the initial step was 43 percent, compared with 52 percent for claimants not screened out. Among the remaining claimants, a strategy that directed services

to the 20 percent of claimants with the highest predicted probabilities of exhaustion directed services to a subgroup with an average exhaustion rate of 64 percent.

Of course, claimants exhausted their benefits for different reasons and not all exhaustees were in need of the same reemployment services. One type of exhaustee could be the manufacturing worker from a closed plant who was faced with the prospect of switching to a new occupation. Another type of exhaustee could be a well-educated professional who was selective in obtaining a suitable new job and therefore remained unemployed a long time. Many professionals also faced the need to switch occupations in the current environment of corporate downsizing.

Although the claimants identified as being likely to exhaust their benefits were diverse, the reemployment services could still be useful for most of the claimants. In fact, the reemployment services served different purposes for different types of claimants who were likely to exhaust their benefits. Some workers needed to be retrained and the reemployment services provided them with information about training opportunities. Other types of workers had not looked for a job for several years and they needed to learn new job-finding skills or refresh their old skills. Other claimants who did not need any specific services still benefited from the boost in morale that they received from participating in the services and talking to other claimants in similar situations.

Several states realized that there was a potential problem that needed to be resolved before re-estimating the profiling models in the future. The claimant samples available for re-estimating the model included claimants who were profiled and served. The availability and targeting of WPRS services to some of the claimants in the samples most likely altered the observed relationship between claimant characteristics and probability of benefit exhaustion. For example, if long-tenure workers returned to work more quickly because of the WPRS services, the estimated positive relationship between tenure and probability of exhaustion in the statistical model could be diluted. Consequently, a re-estimated model may not target services to long-tenure workers to the same degree as the original model. Resource constraints on services could limit this effect, as not all potentially eligible claimants received WPRS services. States need to assess the implications of re-estimating the model with a sample that included WPRS claimants, and if the effect was substantial, states need to identify an alternative strategy for re-estimating a model that was not biased by the availability of WPRS services.

SELECTION AND REFERRAL OF CLAIMANTS

Using the models described in the previous section, the case study states (except Delaware) assigned predicted probabilities of benefit exhaustion to individual claimants and referred those with the highest predicted probabilities to reemployment services. The details of the process of the selection and referral of claimants in each of the case study states were summarized in Exhibit III-2. In this section, we discussed the process as it occured in the case study states.

Application of the Model

All states applied characteristics screens and statistical models to new claimants on a weekly basis. The five states that used statistical models took claimants who received a first payment, screened out claimants who were not permanently separated, and then calculated a predicted probability of benefit exhaustion for each claimant based on the estimated statistical model. The states then created a list of claimants in order of their predicted probability that was used as the basis for claimant selection. In each state, the general principal was to work from the top of the list, so that those with the highest predicted probabilities of benefit exhaustion were served first. In Delaware, where no statistical model was used, applying the profiling model simply entailed using the two sets of characteristics screens to define the eligible claimants.

One state, Kentucky, did not apply its own profiling model. In Kentucky, the Center for Business and Economic Research (CBER) profiled new claimants after receiving a computer file of new claimants from the state. CBER calculated the exhaustion probabilities for the new claimants and identified the claimants to be referred to services in each local office. CBER then provided the state with a dBase file for each local office that contained the names and information for each claimant to be referred to services. Kentucky planned to eventually transfer the task of profiling new claimants to the state.

Exhibit III-2

Selection and Referral of Claimants

State	Agency that Profiles	Specification of Service Capacity	Selection Pool/ Waiting List Policy	Notification of Claimants
DE	State	State determines the number of claimants to serve in each office based on their plan to serve 1,000 claimants total	Claimants remain the selection pool for up to 5 weeks.	Local offices send letters
FL	State	For each local office, the state notifies 15 claimants with the highest probabilities of exhaustion. Local offices can increase the number of claimants notified to attend, but they cannot decrease it.	Claimants remain in selection pool for up to 2 weeks.	State sends letters
KY	Center for Business and Economic Research	State sets local capacities based on previous claim load.	Claimants remain in the selection pool for up to 5 weeks.	State sends letters
MD	State	Local offices choose the number of claimants to notify, although they are required to track the first 30 claimants on the list even if they do not require them to participate in services.	Varies by local office. For example, Cumberland uses a waiting list, but Towson does not. In Cumberland, claimants stay on the waiting list until they are served. Each week, those on the list the longest are selected first.	Local offices send letters, and some follow up with phone calls.
NJ	State	Local UI office selects names from the list and schedules them for orientation. The number selected for each local office is decided by the region, in consultation with the state and the local office. Each region is required by the state to serve a set number of claimants for the region as a whole.	Claimants remain in the selection pool for up to 5 weeks after their initial claim.	State sends letters
OR	State	Local office selects names from selection pool to match their capacity. The capacity is determined by the local office, in consultation with the region.	Claimants remain in the selection pool for up to 25 working days.	Local offices send letters or ask the state to do it based on a list provided by the local offices.

Specification of Service Capacity

The agency responsible for deciding the number of claimants to be served in each office varied greatly across states. In three cases (Kentucky, Delaware, and Florida), the state decided how many claimants each local office would serve. Kentucky and Delaware specified a separate number for each office based on previous claim loads and their overall goal. Florida specified the same number, fifteen claimants, for every office participating in profiling based on the number of claimants assigned to similar services in the Job Search Assistance Demonstration. Local offices in Florida were theoretically allowed to serve more (but not fewer) than fifteen claimants, but the local offices that we visited did not realize this and did not know how to revise the number selected. Local ignorance of this option was probably due to the lack of direct communication between local offices and the state during the early phase of the project. Florida regional staff rather than state staff provided most of the training and guidance to local offices in Florida.

The other states allowed more local input into the decision of how many claimants to serve. In Oregon and New Jersey, the regions consulted with the local offices and with the state before setting a service requirement for each office in their regions. In Maryland, local offices chose the number of claimants to serve according to their capacity, but they were required to track the top 30 claimants on the profiling list. At this point, however, tracking of claimants was not very extensive in Maryland, discussed in Chapter V.

A common obstacle faced in the local offices was finding space for the orientations, workshops, and other group services provided as part of WPRS. Several of the local offices that we visited did not have space for group services at the office. Given this shortage of space, some of the local offices were borrowing space from other agencies for conducting group services. For example, the office in Towson, Maryland borrowed space in the local dislocated worker training center for its WPRS workshop. One drawback to this policy was the uncertainty of the space availability, because the agency that controlled the space needed to use it, thereby displacing WPRS.

Selection of Claimants

In all states that used a statistical model, claimants selected for services each week were generally those with the highest estimated probabilities of exhaustion. In four of the five states that used a statistical model, new claimants who entered the system were profiled and then added to a selection pool, and those claimants in the pool with the highest estimated probabilities of exhaustion were the ones selected for services. The maximum time that claimants remained in the selection pool ranged from two weeks in Florida to five weeks in

Kentucky and Oregon. Florida chose to keep claimants in the selection pool for only two weeks because they wanted services to be provided as soon after the initial claim as possible (or not at all), and they did not want to create a situation where claimants waited around for services that they might never receive anyway.

Maryland had no formal state policy on use of a selection pool, so claimants were generally not referred to reemployment services unless they were chosen in their first week of eligibility. However, one of the sites that we visited created a waiting list as a way to ensure that they potentially served all 30 claimants included on the weekly profiling list even though their limited facilities prohibited them from serving 30 claimants in any given week. Each week, the 30 claimants with the highest probabilities of exhaustion were added to a waiting list. The claimants who had been on the list the longest were selected for services and the 30 new claimants were added to the bottom of the list. Claimants remained on the waiting list until they were served or stopped claiming benefits.

The waiting list described above differed from a selection pool in at least two important ways. First, claimants were selected off the waiting list in the order that they entered the list, while claimants were selected out of a selection pool on the basis of their exhaustion probabilities. Second, all claimants who were put on the waiting list were eventually served if they continued to claim benefits, while claimants who were put into a selection pool could be dropped from the pool without ever being offered services.

One potential flaw of the waiting list approach was that claimants were not served promptly because they spent a few weeks on the waiting list before they were referred to services. Use of the waiting list therefore appeared to contradict the goal of early intervention in WPRS. In the office that used the waiting list, we spoke with a group of claimants who all had filed their initial claim at least eight weeks prior to the workshop. A couple of the claimants had filed their initial claim several months prior to the workshop. These delays between the initial claim and the workshop were longer than specified in the Maryland WPRS design. The time that claimants spent on the waiting list represented a significant proportion of the delay.

The remaining state, Delaware, selected the claimants to be referred to services from those claimants that passed the characteristics screens. The target group of claimants who passed the characteristics screens represented about one-tenth of the claimants for whom they had valid data. This target group was used as a profiling selection pool, from which claimants were randomly selected for services using an algorithm the state developed for its UI quality

control analysis. Claimants remained in the selection pool for up to 5 weeks. The random selection policy followed by Delaware created problems by making it difficult to explain to claimants why they were required to participate in services while other claimants were not.

Notification of Claimants

Three of the states (Kentucky, New Jersey, and Florida) automatically sent notification letters to claimants selected to participate in services. In contrast, Maryland and Delaware provided the local offices with lists of profiled claimants, and the local offices scheduled claimants for services and notified the claimants by letter. Some of the local offices in Maryland also called claimants prior to the beginning of services to remind them to participate. For example, one local office in a rural area needed to send out letters two weeks before services so that claimants with post office boxes had adequate time to receive and read their mail prior to the services. Because of this long lag between the notification and services, this local office used an automatic-dialing system to call claimants and remind them of the services. In the remaining state, Oregon, local offices could send the notification letters themselves or, alternatively, schedule claimants for services and provide a list of claimants for the state to send letters.

Maryland chose to have the local offices send out the WPRS notification letters based on their experience with the Work Search Demonstration. The letters sent out by the state did not always provide accurate information about local services. The inaccuracies arose because the details of the demonstration services, such as the time and location of the job search workshop, would change over time, and the state would not receive timely information about the changes. In WPRS, when the local office changed details they simply changed the letter themselves rather than working through the state to change the letter. To make the letters similar across offices, the state provided a model letter from which the local offices created their letters.

In several states the notification letters were revised over time to respond to different issues. One issue was that claimants did not expect the letter prior to its arrival, so they could be confused by the letter and not know how to react appropriately. For example, Kentucky administrators reported claimants did not initially understand the importance of the letter based on its wording, so the letter was changed to emphasize the mandatory nature of WPRS services. Kentucky also warned claimants in the letter that they should be prepared to spend two or three hours in the local office when they reported for orientation. Florida administrators also considered changes in the letter as they received feedback from the local offices and the SDAs. The objective of the changes was to make the letter friendlier and more

customized. Local administrators also reported that the state was sending letters printed in English to claimants who did not speak English. It was unclear at the time whether the state took steps to correct this situation.

CONCLUSIONS

To profile claimants, the states that we visited generally used two-step models based on the DOL prototype. In the first step, characteristics screens were used to identify claimants who were permanently separated from their previous employer. In the second step, claimants were assigned a probability of exhausting UI benefits based on their individual characteristics and a statistical model of benefit exhaustion. Services were targeted to those claimants with the highest predicted probabilities of benefit exhaustion. One of the states, Delaware, used only characteristics screens instead of a statistical model to profile claimants because they did not have the data to estimate a statistical model at the time they developed their WPRS system. However, Delaware collected data on claimants, and the administrators planned to switch to a statistical model once they estimated one.

States successfully implemented the profiling models, and the models appeared to identify claimants who were most likely to exhaust their benefits. However, some administrators, especially local administrators, were dissatisfied with the model because they felt the model directed services to claimants who did not need reemployment services. The most common complaint was that the profiled claimants were relatively highly-educated, highly-skilled workers who already knew how to find a job in their field. Other administrators, however, argued that the models effectively identified claimants who were likely to have difficulty in finding employment and who therefore needed reemployment services. Some states considered estimating separate profiling models for different geographic regions in their state, and Kentucky was using such models.

Different states used different methods for setting service capacity, selecting claimants for services, and notifying claimants to be served. Some states specified the number of claimants to be served by local office, while other states left this decision to the local offices. In states that used a statistical model for profiling, new claimants were put into a selection pool from which the claimants with high exhaustion probabilities were drawn. Claimants not chosen for services in the first week of eligibility remained in the pool and could be chosen at some later date. The maximum time spent in the selection pool varied by state. One local site that we visited used a waiting list rather than a selection pool. New claimants with high exhaustion probabilities were placed on the waiting list and remained on the waiting list until they were served. This approach suffered from a potential flaw because claimants could spend

they were served. This approach suffered from a potential flaw because claimants could spend several weeks on the waiting list before they were referred to services. Use of a waiting list therefore appeared to contradict the WPRS goal of early intervention.

The process for notifying claimants varied by state. In some cases, the state sent letters to claimants instructing them to participate in WPRS, while in other cases, the local offices prepared and sent the letters. One state allowed the local offices to either send the letters or to request the state to send the letters. In several states, the notification letters were revised over time as administrators observed the response to the letters and received feedback from claimants and local offices.

IV PROVIDING SERVICES TO CLAIMANTS

The requirement that identified claimants be referred to reemployment services and that they participate as a condition of eligibility for UI benefits necessitates the availability of reemployment services to these claimants. What constitutes a reemployment service has been defined by DOL guidelines as including, but not limited to, the following:

> "Orientation to the process, the dislocated worker problem, services available, and information about the labor market;
>
> Assessment of the worker's general skills, aptitudes, work history and interests;
>
> Counseling regarding reemployment approaches and plans;
>
> Job search assistance and job placement services;
>
> Job search workshops or job clubs and referrals to employers;
>
> Other similar services." (DOL, ETA Field Memorandum No. 35-94; pg. 38)

DOL guidelines also stipulate that education and skills training are not reemployment services and, therefore, should not be required and subject to benefit denial. However, if a WPRS claimant chooses to participate in relevant training services, an exemption from reemployment service requirements can be made. Additionally, DOL strongly suggests that the specific reemployment services required of that claimant should be mutually agreed upon with the provider and "will be customized based upon a determination of each claimant's needs" and that "this set of services will be described in a Service Plan." (DOL, ETA Field Memorandum No. 35-94; pg. 38)

The guidelines provided by DOL were important factors in how states proceeded to design and deliver reemployment services for their profiled and referred claimants. In this chapter we discuss (1) how case study states and local sites designed and delivered their reemployment services, (2) the content of these services, and (3) the factors that influence the design and delivery of reemployment services.

DESIGN AND DELIVERY OF SERVICES

How Services Were Designed

Involvement of Different Agencies

Case study states and local areas based their systems on DOL guidelines and, in general, provided services already being offered by local service providers. These service providers were usually ES and EDWAA. When new services were developed, existing services were often used as models. In some sites existing services were modified or specifically packaged together to serve as a reemployment service. For example, to design the WPRS orientation, many of the sites used EDWAA's rapid response meetings and UI's benefit rights interview as models for content and the presentation format. Shortened versions of the assessment battery provided for EDWAA enrollees, for example, were sometimes used as assessments conducted for all profiled and referred claimants. Individual service plans were modeled after the more extensive employment development plans or individual service strategies used by the EDWAA program. The array of other reemployment services offered for an individualized plan consisted of existing or slightly modified existing ES or EDWAA services.

When existing services were used as models for WPRS reemployment services, it was usually the agency providing the service that redesigned it for WPRS purposes. In most case study states, ES, with some input from EDWAA and/or UI, designed the WPRS reemployment services. In states where the ES and EDWAA programs work relatively independently, there appeared to be an absence of more intimate EDWAA involvement in design roles. This minimal involvement of EDWAA in many sites is somewhat disappointing given (1) the fact that the profiled and referred claimant is intended to be similar to and to overlap with the EDWAA-eligible dislocated worker, and (2) the extensive knowledge and expertise EDWAA programs have in providing basic readjustment services for dislocated workers many of which are appropriate reemployment services for WPRS profiled and referred claimants.

EDWAA involvement was greater in states where organizational structures and/or existing relationships facilitated collaboration. For example, in Delaware, ES and EDWAA are both in the Division of Employment and Training (DET) and see themselves as a DET unit rather than two separate agencies. Consequently, in Delaware, EDWAA had a major role in the design of WPRS services. In Kentucky, at the time of the site visits, all local ES offices had contracts to provide EDWAA

services. At the local level in Kentucky, therefore, EDWAA expertise was also utilized. In Oregon, the strong working relationships established between UI, ES, and EDWAA for a state dislocated worker program seemed to carry over to the WPRS initiative and, consequently, EDWAA had a major role in the design of local services.

Involvement of Local Offices

Local offices played a variety of roles vis-à-vis state offices in designing WPRS services. All of the states established minimum requirements and general guidelines for the content and delivery of local services. Local offices were given varying degrees of discretion in determining reemployment service requirements and the array of services available to profiled and referred claimants. However, local staff in some sites were unclear as to the amount of discretion they had. Consequently, it was often the capacity or willingness of local administrators and staff to take responsibility that determined local roles in the design effort.

Case study states attempted to communicate minimum requirements and extent of local discretion mainly through procedural manuals and training. The clarity and comprehensiveness of the manuals and training strongly influenced how local areas accepted and carried out their design roles. When the instructions in the manuals were vague or incomplete and the training inadequate, local staff tended to misunderstand the policies regarding the amount of decisionmaking power they were allowed. In some local areas, this was not a major problem. Local administrators expressed their concerns to the state and the misunderstandings were resolved. In other local areas, however, the misunderstandings persisted and affected design efforts negatively.

Although all of the state offices allowed some degree of local decisionmaking, some states intended to be more prescriptive than others. The state office in Kentucky, for example, wanted to assure comparability in services across local offices and, consequently, provided locals with more required materials for use with profiled and referred claimants than any other case study state. Kentucky's state office developed an orientation video that all local offices were required to make part of their presentation and a pamphlet with relevant information that local offices would provide to those attending the orientation. Local offices were also provided with two assessment tools—a profiling prescreening assessment and a job-seeking skills assessment—that are used to place claimants into one of three services tracks: job ready, needing training, and needing more reemployment services. The state office also suggested the content of a job search workshop that locals could develop and

provide for profiled and referred claimants. Nevertheless, Kentucky still expected the local offices to take on substantial design responsibilities. Local sites were expected to determine other relevant content for the orientation meeting and, if they chose to provide the job search workshop, they were responsible for fully developing the workshop.

All of the other case study states used a similar approach in designing their systems. The state provided the frameworks and the local offices were expected to fill it. For example, in Florida, the state provided local areas with a notebook of materials that they could use for their orientation meeting and/or a job search workshop. In Maryland, the state provided the five major topic areas that local offices were to cover in the required job search workshop, and training in workshop techniques and content. Local offices were required to fully develop their workshop around the five core topics. The state staff in New Jersey developed, among other materials, a job search workshop covering two main areas of career assessment and job search; the local offices supplemented the information provided.

The advantage to the WPRS initiative of states providing local areas with more prescriptive requirements and more comprehensive materials was that it made start-up and implementation activities easier to carry out quickly. The challenge, however, was for the state to allow local offices sufficient discretion to make the system their own. Local staff participated more intensely in the design process when they either had substantial input into the statewide design or were able to modify or add to that design to meet local needs. Local staff buy-in was important in the initial design of the system and also for continuous improvement efforts.

Some state leaders have inculcated a belief at the local level that change is possible and—perhaps more importantly—desired to develop an effective WPRS system that continuously improves. For example, Oregon identified its first year of implementation as a pilot year, which had a beneficial effect on the two local case study sites. Local administrators and staff felt that they were allowed to evaluate their operations, experiment with different service delivery arrangements, and make improvements. Maryland, in its unique position as a test state, has also encouraged its local areas to experiment with services provided for profiled and referred claimants and facilitated experimentation that has provided substantial training to increase local capacity.

Use of Customer Feedback

To make improvements to their WPRS systems, states and local areas need evaluative information. One of the more important sources of this information is the customer. Although not fully developed, a few case study sites are collecting customer feedback. In Florida, the state mails a survey to profiled and referred claimants who have completed WPRS requirements to ask how helpful services were overall and which services customers found most helpful. One of the Florida local areas also distributes an evaluation form at the end of the orientation meeting to gather claimants' reactions to the orientation. In a local Maryland site, participants in a job search workshop are asked to complete a customer satisfaction questionnaire at the end of the workshop. The information gathered is used to help make improvements at the local level. In New Jersey, the state requires customers to be surveyed after each WPRS activity is completed. The state compiles the information for state and local office use. Other local sites have used less formal ways of gathering customer feedback including anecdotal accounts of customer comments from staff.

Customer feedback about services was not necessarily used to improve services to better meet the needs of the customer. In many cases, WPRS staff assumed that services would remain constant. They concluded that if customers were dissatisfied with their services, the profiling process should change to identify claimants whose needs better matched the services they were providing. The ideal is probably somewhere between the two extremes of changing services and changing the profiling process. Expressions of customer dissatisfaction should be used to encourage a re-examination of profiling procedures, as well as to increase the emphasis on customized services for individual profiled and referred claimants. Results from the customer satisfaction survey, presented in Chapter VI, show a positive relationship between efforts to increase the individualized nature of services and customers' overall satisfaction with the WPRS services.

Most case study states and local areas decided to use existing services with slight, if any, modifications because of a number of factors including (1) the relatively short start-up time, (2) uncertainty about who the profiled and referred claimants would be and what needs those claimants would have, and (3) few, if any, extra dollars or staff time were available to design new services for such immediate use. In addition, some local areas are unaware that they are permitted to modify the service design recommended by the state. Nevertheless, it is encouraging to find that many of the

case study states and local areas support efforts to continually assess their WPRS systems and improve services when necessary.

How Services are Delivered

Service Delivery Arrangements

The local case study sites used three basic strategies for service delivery: (1) fully integrated partnerships, (2) parallel partnerships, and (3) dominant agency partnerships. Fully integrated partnerships involve two or more partners who work together equally to develop and deliver reemployment services. These partnerships are not easily developed and, in fact, in only rare instances were they operating. A local Oregon site was making a real effort at a fully integrated partnership, at the administrative and operational levels. Local design decisions were made by UI, ES, EDWAA, and community college administrators and/or staff together, and the development and provision of WPRS services generally involved two or more of the agencies.

Parallel partnerships involve agreements between partners to "hand off" customers to each other for different services. They are usually used in combination with other delivery strategies. For example, in Delaware, EDWAA staff conduct a one-on-one assessment interview of profiled and referred claimants. Subsequently those who are assessed as job ready are sent to ES for job search assistance while the less job ready are sent to EDWAA for more intensive case management and other appropriate services. In a local Oregon site, orientation, assessment, and service plan development are provided through an integrated partnership of ES, EDWAA, and community colleges. Profiled and referred claimants are then handed off to either ES or an EDWAA/community college partnership for subsequent required services.

What sets Delaware and this local Oregon site apart from other local areas that report using the parallel partnership strategy is that each agency assumes equal responsibility in handing off the profiled and referred claimant. In both Delaware and Oregon, the services provided by ES, EDWAA, and/or the community colleges are required WPRS services. Claimants are handed-off to the provider of services most appropriate to each claimants' needs.

Perhaps the most common strategy is the dominant agency strategy, in which one agency provides the major portion of the reemployment services while other agencies provide occasional services, if any. In most of the sites we visited, ES provided the

bulk of the reemployment services with UI and/or EDWAA participating to a small degree. For example, ES would present the majority of the orientation or a job search workshop with UI and/or EDWAA making short presentations. Other required or voluntary reemployment services are also mainly provided by the same agency, ES.

Another important aspect of service delivery arrangements is the identification of staff who serve profiled and referred claimants. In most local areas, specific staff were dedicated to serving WPRS claimants. In some of these offices, the dedicated staff were referred to as the WPRS staff; in other offices, these staff simply assumed the additional WPRS responsibilities. Having a WPRS-dedicated staff is valuable because it gives WPRS customers a degree of priority for agency services. Furthermore, WPRS customers also indicated that they are more likely to access additional services because of the personal relationship they have established with the WPRS staff.

Exhibit IV-1 shows the proposed providers of services in the first wave, prototype, and test states.[1] Of the 26 states, the majority indicated the Employment Service, EDWAA, or both as providers of reemployment services. These two providers were by far mentioned the most often.

Required Reemployment Services

The reemployment services requirements in the case study states can be classified across a continuum of two characteristics: (1) how individualized services are, and (2) the length of required participation. Exhibit IV-2 presents information on the mandatory reemployment services in each of the case study local areas, the provider of these services, and the required length of participation.

Most states require core services of all profiled and referred claimants. How individualized these services were differed from state to state. Maryland, for example, requires all profiled and referred claimants to participate in a job search workshop and a follow-up contact. Oregon requires an orientation, assessment interview, service plan, and all other services on an individual's service plan. The services on the service plan are intended to be customized to the needs of the individual and could, therefore, differ tremendously from one claimant to the next.

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[1] Where states used state-specific service provider names, we categorized these as state-specific providers. It was not always clear whether these were state-funded programs, private organizations, or unique names for one-stop or similar types of centers. We also recognize that as states implement their system, the providers may change.

Exhibit IV-1
Number of States Proposing Service Provider

Proposed Service Providers	# States
ES only	1
ES and EDWAA, providing services separately	17
ES and EDWAA, providing services together	6
ES, EDWAA, and community colleges, providing services together	1
EDWAA and community colleges, providing services together	1
Local area inter-agency centers	2
JTPA Title II-A	4
Community colleges	2
Public vocational education systems	2
Community-based organizations	2
TRA	1
Veterans' programs	1
State-specific programs	2
Other service providers	1

Exhibit IV-2

Worker Profiling and Reemployment Services Requirements

State	Participation Requirement	Local Site	Mandatory Service - Providers of Service
DE	Benefit exhaustion or completion of service plan, whichever is longer	1	Orientation - UI, EDWAA One-on-one assessment interview & individual service plans - EDWAA Other services on service plan - ES or EDWAA
		2	Orientation - UI, EDWAA One-on-one assessment interview & individual service plans - EDWAA Other services on service plan - ES or EDWAA
FL	Completion of services	1	Orientation - ES, UI One-on-one assessment - ES Job search workshop - ES, with short EDWAA presentation
		2	Orientation - ES, UI, with short EDWAA presentation One-on-one assessment - ES
KY	Completion of services	1	Orientation - ES, UI, EDWAA One-on-one assessment & individual service plan - ES One additional service - Job search workshop or self-directed job search by ES or referral to EDWAA training
		2	Orientation - UI, ES, EDWAA One-on-one assessment & individual service plan - ES, EDWAA Other services on service plan - ES, EDWAA
MD	Completion of job search workshop and follow-up contact	1	Job search workshop (10-20 hours) - ES, with presentation by EDWAA
		2	Job search workshop (10-20 hours) - ES, with short presentation by EDWAA
NJ	Until benefit exhaustion or employment, whichever is sooner	1	Orientation & preliminary service plans- ES Job search workshop (includes assessment, individual service plans) - ES Job club, ongoing contacts, other reemployment services - ES
		2	Orientation & preliminary service plans- ES Job search workshop (includes assessment, individual service plans) - ES Job club, independent use of services - ES
OR	Completion of services	1	Orientation, one-on-one assessment & individual service plan - ES, UI, EDWAA, community college One-on-one interview - ES Other services on service plan - ES, EDWAA, community college
		2	Orientation, one-on-one assessment/individual service plans - ES, EDWAA, community college Job search workshop - EDWAA, community college or Enhanced enrollment services - ES Other services on service plan - ES, EDWAA, community college

States and local areas also differed in the length of WPRS participation required. In Delaware, profiled and referred claimants remain in the WPRS system until benefits are exhausted or claimants complete their service plan, whichever is longer. In New Jersey, profiled and referred claimants remain in the WPRS system until they obtain employment or exhaust benefits. In each of the other case study states, participation ended with the completion of required services, which tended to be for a relatively short period of time. Some of these states and local areas appeared to encourage completion of required services as soon as possible. However, in most sites, profiled and referred claimants were encouraged to voluntarily continue accessing services. Nevertheless, it remained unclear whether they did or not since tracking of service participation usually ended with completion of service requirements.

States were concerned that if service plans were extensive in length, over time, increasing caseloads would overwhelm staff capacity in the local offices. This was a particular concern in Delaware. State staff in Kentucky indicated that they had originally planned to provide longer-term case management but decided against it because increasing caseloads made providing such a service impossible. A local Oregon site found that the waiting time for a required two week workshop was getting longer as the program year progressed. The staff redesigned it into a four day workshop, which allowed them to offer more workshops and reduce waiting time for profiled and referred claimants.

CONTENT OF SERVICES

Exhibit IV-3 is a summary of the different services that first wave, prototype, and test states proposed offering in their WPRS systems.[2] The services most often planned by states are orientation, assessment, service planning, vocational/reemployment counseling, job search workshops, referral to occupational training, and job placement services. Case study states and local sites offer similarly-named services to profiled and referred claimants. However, the content of the services varies substantially. Some of the similarities and differences of the main reemployment services offered are described below.

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[2] It is important to remember that different states include different content in services of the same name. On the other hand, services with different names could very well have the same content. Some states were very specific about the different services they intended to provide while others were more general. Also, because a state did not mentioned offering a specific service does not necessarily mean that they are not offering that service.

Exhibit IV-3
Number of States Providing Various Services

Service	# States
Orientation	20
Assessment	24
Vocational/reemployment counseling	22
Service planning	24
Labor market information	15
Job search assistance	26
Job search workshops	24
Job clubs	7
Job fairs	1
Resource centers	4
Self-directed/self-initiated job search	7
Case management	6
Supportive services	7
Relocation assistance	6
Referral to occupational training	20
Referral to educational services	14

Orientation

All of the case study states except Maryland required claimants to attend a stand-alone orientation In Maryland, the orientation information was provided as part of a required job search workshop.

All of the case study sites usually provided a group orientation, although most local offices also had the option of providing one-on-one orientations, if necessary. Orientations were offered as often as three times a week and as infrequently as once every two weeks. The frequency of scheduled meetings depended on the number of profiled and referred claimants a local office proposed to serve. Most local offices attempted to be flexible about adding or reducing the number of orientation meetings held in a given period. They were, however, constrained by space and staff availability for the orientation itself and also for subsequent services.

Orientations generally include information about how people were selected, mandatory requirements, the array of services available, labor market information, and claimants' rights, including UI benefit receipt and adjudication procedures. Several sites reported that the most important purposes of the orientation are to help claimants get over negative feelings of being required to participate in reemployment services and help them understand what services are available and how they can access those services.

The length of the orientation meetings varies in the case study sites from 30 minutes to three hours. Longer meetings usually included more information, a one-on-one assessment, and development of a service plan.

All of the states gave their local sites a substantial amount of discretion in the design of their orientation meetings. For example, Delaware developed an orientation script that local offices are expected to enhance. The state script consisted of eighteen very general statements of information that needed to be conveyed to profiled and referred claimants. Labor market information, for example, was conveyed as: "Some industries and occupations no longer provide employment opportunities for working men and women, while other industries and occupations are opening up." Local areas are expected to provide more detailed information such as which industries and occupations in their area were declining and which were growing, where more labor market information could be accessed, and what skills were needed for growing occupations.

Assessment

Case study sites usually required a relatively short assessment to gather information on employment history, interests, skills, and barriers to employment. Some local offices were required to record assessment results on a designated state form. In other sites the assessment was a verbal exchange between the service provider and the customer as input to developing a written service plan. More formal assessment tools regularly available from service providers, such as the GATB, were available but rarely used for WPRS purposes. Profiled claimants referred to EDWAA services generally received more comprehensive assessment services through EDWAA.

Most sites provided one-on-one assessments, but a few sites primarily conducted group assessments. Some participants expressed discomfort with having to reveal such personal information in a group setting. Some of these cases may well have warranted individual assessment interviews.

Some of the sites held the assessment interviews on the same day as the orientation while others scheduled them on a separate day. The length of assessment sessions varied. Those held on days separate from orientation tended to be longer. The length of these sessions, however, did not necessarily determine the quality or usefulness of the assessment. The factor that appears to have the most influence on quality was the ability of the interviewer to solicit useful answers from the participant and to use the information gathered to help the participant establish the most realistic and effective service plan.

Service Planning

All but one of the case study sites required the development of some type of service plan for profiled and referred claimants. Unfortunately, service plans were not always used as intended by DOL. In some sites, plans were not individualized. All WPRS plans included the same core required services. The service plan was used mainly as a feedback mechanism to inform UI of the services received and completed by a claimant.

Staff in some local offices were concerned about adding services that would be mandatory. These staff tended to develop service plans with minimal requirements. For example, in one of the local sites visited, the service on a service plan read: "Contact the local community college about their GED class by a specified date." In some cases, service providers appear to even discourage customers from establishing a

plan that would result in a longer-term commitment because of a concern about making longer-term services mandatory.

Some states attempted to address local staff concerns about making services on the plans mandatory by stipulating that service plans could be modified. Nevertheless, whether out of fear that modifications would not be allowed or from lack of experience with the concept of ongoing case management, the option to make changes did not appear to encourage more specific service plans. A greater emphasis by state offices that individual service plans should be revisited periodically and modified whenever necessary may help to make service planning and services plans more meaningful and useful.

Other Reemployment Services

All local sites offered other reemployment services. The comprehensiveness of the services available varied somewhat among local sites. A few of the states we visited had or were in the process of increasing the resources available through their ES offices. Delaware was in the process of providing resource rooms in each local office that would include such self-service aids as ALEX; personal computers with word processing, resume and interviewing software; telephone banks; labor market information; national papers; and self-assessment tools. A similar effort is being implemented in Oregon where ES offices are being transformed into Job and Career Centers with a myriad of resources for job seekers. In New Jersey, all WPRS offices are equipped with phone banks, PCs, fax, copiers, laser printers and direct lines to ALEX information and all of these services are available to the customer. New Jersey's ES offices have what they refer to as "multi-access resource centers" that provide materials to assist a self-directed job search and includes ALEX and Career Information Delivery System terminals, labor market literature, telephone and industrial directories, training literature, and newspapers. WPRS customers using the services in these resource rooms are usually given more individual and hands-on support by WPRS staff than the typical ES client.

Below we discuss three different reemployment services required or offered to WPRS claimants.

Job Search Workshop

The one reemployment service that was required of WPRS customers by some local areas is a job search workshop. In Maryland, the job search workshop and a

follow-up contact were the only required services for WPRS claimants. The workshop was required to be from 10 to 20 hours in length and include the following five major topic areas:

- Job search preparation, including a skills assessment, establishing job goals, information on interviews and how to handle them, and information about how to establish rapport and use it.
- Job search plans, including information on time management, targeting potential employers, making direct and telephone contacts, networking, the hidden job market, and follow-up activities.
- Job search tools, including how to develop and write resumes, how to write cover and follow-up letters, and how to complete employment applications.
- Job search resources, including accessing the resources of the Maryland Job Service, the use of ALEX, how to obtain labor market information, and how to access other community resources.
- EDWAA and community resources, including information on training, EDWAA eligibility requirements, and how and when to choose training.

New Jersey developed a four-module job search workshop, which local offices required for nearly all profiled and referred claimants. Originally the workshop was scheduled to be four half-days; local sites were allowed to shorten the length. In one local area, the workshop was shortened to a twelve hour, three day workshop while in the second local site it is a twelve hour, four day workshop. The workshop covers the following topics:

- Stress management, work values, and financial planning.
- Self-confidence, self-evaluation of skills, and creating a job goal.
- Networking and resume preparation.
- Labor market information and sources, and interviewing techniques.

One of the local sites in Florida developed a workshop required of all profiled and referred claimants. It is a six-hour, two day workshop that includes discussions on the relevant backgrounds of participants; interest inventories; job strategies; a video on job interviewing; self-evaluations; and resumes, available jobs, expected pay levels, and relocation possibilities

One of the local Oregon sites included a ten day workshop, developed for a state dislocated worker program, as a choice for a required service. Because of space

limitations in that workshop, a modified version was developed and offered only to WPRS participants. The curriculum for the modified four day workshop included extensive assessment, motivational training, interview training, going on an actual information interview, labor market information, job applications and resumes, overcoming fear and procrastination, and an introduction to other available services.

Job Clubs

New Jersey was the only case study state to require participation in a job club or similar service as part of their WPRS requirements. The purpose of the job club is to give participants an opportunity to discuss with other dislocated workers the problems and triumphs of conducting a job search and to provide each other moral support. The biggest problem local sites had in operating job clubs was logistical. They had difficulty finding the space and time for job club meetings and providing staff to facilitate the effort. Job club participants were generally satisfied with the support they were receiving. However, a few of the participants interviewed indicated that the educational level and employment skills and knowledge in their group were diverse, making it difficult to find common job search experiences and needs for job seeking assistance. These respondents suggested job clubs restrict membership by criteria that would allow for more common employment seeking needs and experiences.

In one of the local New Jersey sites, differences in job seeking skills and needs for assistance were addressed to some extent by a service called the Professional Service Group (PSG), a self-help volunteer organization for professional-level job seekers. Those volunteering to be part of this group are excused from the WPRS job club participation requirement and, in some cases, the job search workshop requirement. The PSG is affiliated with and hosted by the New Jersey Department of Labor. It is described as "action-oriented in job seeking and helping participants promote economic survival and progress for themselves and each other." Although the PSG is supervised by ES staff, the supervision is minimal and the group is essentially designed and run by the participants themselves. The survival and effectiveness of the PSG is dependent on volunteerism. The group provides itself with training in effective job search techniques; active job development, networking, and job placement; training in computer work and other technical skills; helping each other explore self-employment and consultancy; and providing motivation through group support. The Professional Service Group that was operating at the time of our visit consisted of 12 teams of participants. Each team selected a leader and was responsible for a part of the

activities. The group had an office that was open from 8:30 am to 4:15 p.m., Monday to Friday. Group members were required to work three hour shifts a week in the office or do equivalent work. They also agreed to attend the weekly team meetings.

Job Development/Job Placement

One of the major services provided by all ES offices is a source of job listings. In most areas, it is ALEX and little, if anything, more. In many ES offices, the job listings are limited. Customers in some of the sites visited indicated that they found a lack of appropriate jobs listed in ALEX and other job banks available to them. In other sites, job development and service to employers are essential responsibilities of the local ES system. ES administrators and staff claim that working closely with employers has resulted in a greater diversity of jobs listed and listings of higher paying jobs with better benefits.

We found a number of different examples of ways that local ES offices have worked closely with employers to increase and improve their job listings. For example, a local Oregon office has an employer specialist who is responsible for networking with employers, participating with the Chamber of Commerce, organizing and facilitating a weekly employer roundtable, and developing first source agreements with various employers in the area. In this site, first source agreements give ES the advantage of being the first and only (for a given period of time) agency through which potential employees can be referred to positions available through these employers. The emphasis in this office is on being able to send only well-qualified applicants to positions posted so employers will continue to use the office as a source of employees. This means that ES is able to offer a wider variety of better positions to those seeking employment through them. Oregon has also been fortunate to have an automated job information system, developed and updated periodically at the University of Oregon, which includes jobs by occupation and industry in Oregon and outside of the state. In one of the local sites in Kentucky, the employment service system provides job screening services for large employers in the area. In addition, the local office works closely with state economic development efforts to attract prospective employers to the state.

Referrals

All of the local sites provided referrals to other services to WPRS customers. Although most of these referrals were for education and skills training, some sites made referrals for additional reemployment and supportive services, such as child care

services. Most referrals were to other programs operated by WPRS partners such as EDWAA training, JTPA II-A, and veterans' programs.

Referrals differ from local area to local area. In some local offices, when a claimant is referred from the WPRS system to a service provider (e.g., EDWAA) the WPRS system ceases to track that individual. Most of these referrals are for training services and because training services are not considered reemployment services, these referrals are generally not tracked. However, in many cases, referred claimants received reemployment-type services as well as training services. In other local areas, the referral is to a required WPRS service and the service provider (e.g., EDWAA) is required to give feedback to the WPRS system on participation in these services by the claimant. In still other local areas, the WPRS system tracks the WPRS claimant through all services, including training, received as a result of the referral even if participation in a service is not mandatory.

Receipt of Services in the Case Study States

The ETA 9048 Worker Profiling and Reemployment Services Activity reports provide state-level data by quarter on the numbers of claimants who are referred and reported to various services as result of being profiled and referred.[3] Exhibit IV-4 presents, for all the case study states, the percentages of the total referred claimants who reported to individual services.

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[3] We are focusing on the "referred and reporting" category because states used more comparable definitions for this category than they did for the "referred and completing" category in reporting numbers. The report for the quarter ending June 30, 1995 was the first formally required of all test and prototype states which, to a large extent, accounts for the non-comparability of data reported. DOL is working with states to correct the problems encountered with reported data and to clarify reporting requirements. Included in Appendix D of this report is a presentation of all the data from the ETA 9048 reports submitted by the test and prototype states for the first and second quarters of the 1995 calendar year.

Exhibit IV-4
Percentage Referred and Reporting to Services in Case Study States
Quarter Ending 6/30/95

Services	Percent of Total Referred and Reporting
Orientation	73.6%
Assessment	59.5%
Counseling	27.3%
Job Placement/Referrals	33.4%
Job Search Workshop/Job Clubs	57.7%
Education and Training	19.1%
Self Employment Program	0.0%

During the second quarter of the 1995 calendar year, across all of the states, nearly three-fourths, 74%, of claimants who are referred and reported to a service, reported to orientation. In individual case study states, the percentages range from 41% to 100%.[4]

Orientation was the service most profiled and referred claimants reported to in that quarter. Assessment and job search workshops or job clubs were the second most reported to services: 59.5% reporting to assessments and 57.7% reported to job search workshops or job clubs. On a state level, the percentages reporting to assessment ranged from 34% to 100%; the percentages reporting to job search workshops or job clubs ranged from 0% to 100%.

[4] This percentage, 74%, is an indication of how many of those receiving any type of service in the quarter ending June 30, 1995, received orientation services. Some of the claimants may have received orientation services in a previous quarter. A reason for the range of percentages across states is that some state requirements for reemployment services can be satisfied over a period of less than a quarter (in these states, the percentage would probably be 100%) while other state requirements are on-going for periods longer than a quarter (in these states, the percentage would be less than 100%).

Fewer claimants reported to job placements/job referrals and counseling. However, across all of the states, more than one-fourth of those reporting to services received these services. The percentages in the case study states ranged from 14% to 86% for job placement/job referrals and 2% to 100% for counseling. Just under one-fifth, 19%, were referred and reported to education or skills training. The percentages in the states ranged from 4% to 32%.

CONCLUSIONS

Case study states were chosen as prototype and test states to a large extent because they had existing relationships and programs that would tend to facilitate the development and implementation of WPRS systems in their states and local areas. Despite these advantages, the design and implementation efforts undertaken by these case study states and their local areas were not easy. DOL provided guidelines on reemployment services and service delivery arrangements, which greatly facilitated state efforts. States, in turn, attempted to provide their local areas with many of the resources needed to implement their local systems.

We found local areas that were more intimately involved in the design, up front or ongoing, of their local systems tended to be more willing to tailor reemployment services to local needs and to more seriously consider making changes to improve services. These local areas were also more inclined to question the wisdom of state policies that appear to interfere with successful implementation of their local systems.

In most of the local areas, ES and/or EDWAA served as major providers of reemployment services. Given that these two systems have typically provided employment and training services for dislocated workers, it is advantageous that they were selected as major providers. Other service providers typically used in local areas, such as community colleges, also served as service providers. Local areas used a variety of service delivery arrangements to provide services to profiled and referred claimants. In some local areas, ES assumed major responsibility for providing reemployment services such as job search training while EDWAA provided training services. In other areas the more job ready were referred to ES for job placement or directed job search assistance while the less job ready were sent to EDWAA for more intensive job search training and other education or skills training.

Mandatory requirements for reemployment services in the case study states and local areas varied. We found variation in the required number and types of services

and in the required length of participation. In all of the states, local areas were given some discretion regarding mandatory requirements and the content of mandatory services. The services that were required and received by claimants in local areas within states, therefore, varied nearly as much as they varied across states.

One obvious difference in mandatory requirements across states is the length of participation. Two of the case study states require participation until the claimant is no longer receiving benefits. The advantage of longer-term required participation is that it tends to ensure the continuing participation in services by claimants who remain unemployed. Although states with shorter-term requirements reported that they encourage WPRS claimants to voluntarily continue to use available services, it was not clear how many claimants actually did so.

The array of services, whether required or simply available to profiled and referred claimants, differed among local sites. Within a site, however, the services were generally the same as those which were available to the typical client of the service provider. The question arises, then, of what difference WPRS made to the services available to WPRS claimants. Generally, we found that profiled and referred claimants were receiving more individualized attention, more case management-type services, and a sequence of services that formed a more coherent package. In two local areas, profiled and referred claimants were also given priority for ES services over regular ES clients. We also found that profiled and referred claimants were indeed fulfilling the objective of the WPRS initiative to access these services, at the least, earlier in their unemployment spell than claimants typically do.

V OBTAINING FEEDBACK

A crucial component of WPRS systems in any state was the process for collecting and reporting data on claimant participation in WPRS services. A process to collect these feedback data was necessary to be able to track services received by claimants, to monitor compliance with participation requirements, and to examine subsequent employment outcomes of claimants. Most of the case study states attempted to use their existing staff and data systems, with relatively minor revisions or additions, to maintain the feedback data on WPRS claimants. These states designed feedback systems in which case workers played a large role in the process, establishing a service plan, monitoring participation data, and notifying UI of cases of noncompliance. These data were often shared by agencies through verbal or written communication. One of the case study states, however, design a more fully automated WPRS feedback system. Florida made major changes in their pre-existing data management systems to automate the monitoring of compliance with WPRS participation requirements and the notification of UI and claimants of noncompliance. In this chapter we compared and discussed the feedback procedures used in the case study states and outlined the responsibilities of the different agencies in each state.

AUTOMATED SYSTEMS USED FOR FEEDBACK

All of the case study states adapted or augmented their automated data management systems to provide feedback on WPRS claimants. Most states were using pre-existing data systems, both ES and UI systems, to provide feedback support for WPRS (Exhibit V-1). For WPRS claimants, as is the case for all claimants, the ES system was used to track services, and the UI system was used to track benefit payments to claimants. However, states also used these and related systems to collect additional data on the compliance of claimants with WPRS participation requirements.

Three states also constructed separate management systems to supplement the primary ES and UI systems. In two of these states (New Jersey and Delaware), the new management system, which was maintained on the same mainframe computer that housed the ES and UI systems, read and displayed data directly from the ES and UI systems. The purpose of the new management system in these two states was to gather the data relevant for WPRS into one system and to reorganize the data in a way that was most useful for monitoring WPRS participation and compliance. Delaware planned to eventually replace their own management

Exhibit V-1

Feedback Procedures

State	Automated System Used for Tracking	Service Information Tracked	Changes to System to Facilitate Tracking	Sharing of Information	Reschedule/Denial Policies	Decision-making Agencies	Responsibility for Data Entry	Comments
DE	ES system is used to track services. A Profiling Master File has been developed, which accesses data in the ES and UI files. This file will allow UI to view service information and also enter new information as well.	Service plan, service participation.	Established the Profiling Master file, which retrieves service data from the ES system and automatically organizes it by categories appropriate for profiling.	Information currently is passed from ES/JTPA to UI by hardcopy and verbal notification.	Cases reviewed by UI. Follow-up interviews are scheduled for claimants who miss a scheduled activity. Local offices automatically reschedule claimants after a first missed appointment. Benefits have been denied only if claimant has shown willful noncooperation.	UI profiling case manager makes decision on adequate participation in relation to service plans, based on information provided by ES/JTPA.	ES and UI. JTPA has no role.	Delaware plans to eventually use the profiling module currently being developed by ESSI for the ES system. This module will allow the ES and UI systems to communicate regarding compliance of participants.
FL	Linked ES and UI mainframe systems.	Service plan, service participation, compliance, schedule and reschedule information, attendance.	Many changes. The system was set up so that participation data could be entered into ES and information would be passed to the UI system to set up fact-finding on claimants who fail to show. Several screens, including the service plan, were added to the ES system. ES users were provided access to a UI screen, and a comments section was added to screen.	Information is shared electronically between ES and UI. No systematic information is shared between JTPA and ES, although they do communicate verbally.	Flags are placed on claims assigned to profiling. Payments can only be made if service completion is recorded on the ES system, the claimant is excused, or if the local UI overrides the flag. Claimants are generally excused from missed services if they call ahead of time. Benefits are denied indefinitely only if a no-show claimant never reports for fact-finding.	ES determines satisfactory participation and enter data on ES and UI systems. If ES data do not reflect full compliance, the claimant will show up on the UI reject list and the claim will be reviewed. UI can either reject or authorize payment based on available information.	ES enters data on the ES system and on the UI screen. JTPA has no role.	

Exhibit V-1 (continued)

Feedback Procedures

State	Automated System Used for Tracking	Service Information Tracked	Changes to System to Facilitate Tracking	Sharing of Information	Reschedule/ Denial Policies	Decision-making Agencies	Responsibility for Data Entry	Comments
KY	Independent PC-based tracking system, with hardcopy backups. Data on services must also be recorded in the ES system. There has been no attempt to link the ES and UI systems.	Services scheduled, participation, compliance issues.	None.	Feedback on attendance is provided verbally or by hardcopy to UI by ES. No communication with JTPA.	Local UI offices use discretion in benefit denial policies. Some offices are quite strict; others are not. Claimants generally are not denied benefits for their first instance of noncompliance, regardless of the reason. But at least one of the sites visited appeared to be relatively strict.	ES determines compliance with participation requirements. UI decides whether to deny benefits.	Either UI or ES staff can enter data into the tracking system. ES staff must also provide UI with feedback data. JTPA has no role.	
MD	Services tracked on ES system.	Service participation, compliance reschedules, attendance.	Two pre-existing fields on the ES system were changed to track participation and EDWAA eligibility.	Communication between UI and ES is by hardcopy forms. Communication with JTPA is verbal and by hardcopy, but this communication is still being developed. Both local offices are developing a process for exchanging information with JTPA.	Based on pre-existing authority to mandate reporting to ES. Depends on excuse being "necessitous and compelling." Most claimants who call ahead are excused, but some local offices are tougher than others in deciding who to refer to UI for fact-finding. Benefits can be denied indefinitely if claimant fails to eventually show for fact-finding or fails to show for services three times.	ES determines satisfactory participation. The coordinator sends forms to UI only if claimants is deemed a nonparticipant. If UI receives notification, they call the claimants in if they are still claiming benefits.	ES. JTPA has no role.	Maryland is in the process of developing a PC-based management system for profiling.

Exhibit V-1 (continued)

Feedback Procedures

State	Automated System Used for Tracking	Service Information Tracked	Changes to System to Facilitate Tracking	Sharing of Information	Reschedule/ Denial Policies	Decision-making Agencies	Responsibility for Data Entry	Comments
NJ	ES system and WDP-MIS are used to track service participation. WDP-MIS reads and displays data from the ES system and the UI system.	Orientation attendance, participation in other services, compliance. The service plan is not entered onto the computer.	Codes were added to the UI system to track noncompliance. These codes are used in the nonmonetary determination field of the system.	ES notifies UI of no-shows by hard copy and by entering data on the UI system. UI notifies ES about profiled claimants scheduled for orientation by hardcopy. Planned activities are not tracked electronically, just completions. No electronic communication between JTPA and UI; little communication at all between JTPA and ES.	Based on pre-existing authority to mandate reporting to ES. New Jersey appears to be relatively strict in denying benefits for missed appointments.	ES and UI. ES decides on satisfactory participation (UI receives the service plan, but they do not do anything with it) and pends UI payments. UI conducts determinations for no-shows, similar to the determinations they would conduct for "able and available" issues.	Whoever is responsible for an action; mostly ES. JTPA has no role.	
OR	Linked ES and UI mainframe systems.	Service plan, service participation, referral to training, service completion, and exemptions. These are all tracked using the ES case management screen.	A new WPRS code is maintained on the ES and UI systems.	The ES and UI systems are linked on the mainframe, so data are shared electronically. Feedback of JTPA depends on local office. In the two sites visited, JTPA information (including information on attendance and completion) is passed to ES/UI by hardcopy.	Excusals are based on "justifiable cause." Thus far, almost any reason given has been determined justifiable. If an excuse is not justifiable, the claim is examined for "able and available" issues. Benefits are denied only if the claimant is determined not to be "able and available" for work for the week in question.	Varies by local office. In Albany, the UI/ES, JTPA, or community college representative responsible for providing the service decides whether participation is satisfactory. In Beaverton, the ES/WPRS rep. decides.	Varies by office: UI in Albany, ES in Beaverton. JTPA has no role.	Oregon will soon switch to a PC-based system for UI and ES. They also hope to have an electronic link to JTPA.

system with the WPRS case management module currently being developed by Employment Security Systems Institute for the ES system. This module, which was being developed at DOL's request and with DOL funding, would allow the ES and UI systems to communicate regarding the compliance of claimants with WPRS participation requirements.

The third state that used a separate WPRS management system was Kentucky, which developed a PC-based management system that was not linked to the primary ES or UI systems on the state mainframe. Because the new system was not linked to the other systems, data on service participation of WPRS claimants was recorded both in the profiling tracking system and the ES system. Local offices were dissatisfied with this arrangement because it required staff to take extra time to enter the same data on two different systems. In addition, once claimants finished with required WPRS services, any services they received thereafter were recorded on the ES system, but not on the WPRS system. As a result, not all services received by WPRS claimants were being entered the WPRS system. Kentucky decided to use the separate PC-based management system for WPRS because the cost of developing the system was a fraction of the cost of modifying the pre-existing ES system to support profiling requirements.

The simple management system used by Kentucky appeared to have limited usefulness in case management. Local staff report that it could be used to generate summary reports, such as a cumulative history of activities or the number and types of services for profiled individuals in its database. It originally did not allow staff to enter comments, but this option was recently added in response to local staff needs to maintain historical information. It also could not be used to generate letters to notify claimants of rescheduled services, which was done instead on the mainframe UI data system.

Two states (Oregon and Florida) did not have separate WPRS management systems, but created direct links between their primary ES and UI systems so that information on profiled claimants could be accessed by both agencies. The linking of the data systems was designed so that, when data were entered onto one system, the data on the other system were automatically updated. Probably, Florida was the most ambitious of these new systems. The Florida system was designed to automatically monitor WPRS compliance and hold up UI payments based on service participation data entered onto the ES system. Despite the links between the ES and UI systems, local offices in both Florida and Oregon tended to back up any electronic communication between agencies with either verbal or written communication, as discussed below.

The remaining state (Maryland) used the ES and UI systems to monitor WPRS compliance, but neither linked the ES and UI systems nor created a separate management system. State staff asserted that the use of the pre-existing ES and UI systems with only minor changes (see next section) made WPRS more acceptable to local staff and minimized the confusion associated with operating the new system. Maryland was, however, in the process of developing a separate PC-based management system for WPRS.

Tracking Participation in Services

All of the states used the automated systems discussed above to track participation in WPRS services and compliance with WPRS requirements. As we discussed in detail in Chapter IV, five of the six case study states used service plans to define the required services for each claimant. The service plan specified the services that have been determined appropriate for a claimant and in which the claimant must participate. The states that used service plans generally entered the plans into the computer system so that they could be used as the basis for determining compliance of claimants with WPRS participation requirements. As claimants completed services, a staff member could enter the participation data onto the system, monitor compliance, and determine whether or not the service plan was completed at that point. New Jersey used service plans, but did not enter the plan onto the computer. In New Jersey, staff compared the service participation data on the computer against a written service plan to determine whether claimants fulfilled their WPRS requirements.

In Maryland, the one case study state that did not use service plans, the ES system was used to track participation in the mandatory job search workshop. Because the workshop was the only service that was mandatory for WPRS claimants, tracking participation and compliance with WPRS was an easier task in Maryland than in the other states.

One of the objectives of WPRS was to provide claimants with information about EDWAA training opportunities early in their unemployment spells. Claimants who qualified for EDWAA training and who needed training to qualify for a new job were encouraged to enroll in training. Generally, claimants who entered an approved training program were waived from any further obligation to participate in WPRS services. To obtain any information on claimants referred to training, ES or UI needed to communicate with the agency that provided training for claimants. But in most states, ES and UI were not gathering much information on the training activities of WPRS claimants from training providers. Local ES agencies generally just maintained data on whether claimants were referred to training, but few of the local ES agencies in the case study states maintained data on actual training participation, type of training, or completion of training by WPRS claimants.

CHANGES IN PRE-EXISTING DATA SYSTEMS TO FACILITATE TRACKING

The changes to pre-existing ES and UI data systems to accommodate WPRS were relatively minor in most states. States either added new codes or a new field (or converted pre-existing fields) on the ES or UI systems to help track participation. For example, New Jersey added new codes related to WPRS compliance in the nonmonetary determination field of the UI system. Maryland converted two pre-existing fields on the ES system to WPRS tracking fields. One field was used to track participation in the workshop, while the other field tracked eligibility for and enrollment in EDWAA. Two of the states with separate WPRS management systems (Delaware and Kentucky) made no changes at all in the pre-existing ES and UI data systems.

Contrary to the other case study states, Florida made major changes in their data systems to support their WPRS program. The objective was to create a sophisticated automated system which would support case management without creating extra paperwork. The ES and UI systems were revised to manage the program, so that claimants who did not report for WPRS services were automatically identified for notification and UI fact-finding. Several screens, including a separate service plan screen, were added to the ES system. The UI screens were also revised to allow ES program operators to insert comments pertaining to the service participation of WPRS claimants and their ongoing eligibility for UI benefits. In addition to system changes, Florida changed the UI claims process for WPRS claimants because of the way in which the UI system was used to manage claims. UI claims were typically submitted to the state, but the state system used to review claims was not flexible enough to allow for the exemption from work search contacts that was included on WPRS claims. Consequently, WPRS claimants submitted their claims to the local office, where they were reviewed by local staff, who authorized payment based on WPRS compliance.

Some local offices in Florida made even more changes to the data systems to adapt them to their needs. For example, the staff in the Tampa office originally had difficulty with the revised ES system for WPRS because it generated lists of claimants according to their originally scheduled orientation rather than according to the orientation that they were currently scheduled to attend. Hence, to create an attendance list for the current orientation, staff were required to go back through the old lists to find the claimants who were rescheduled because of previous absences. To make this process simpler, local data processing staff created a separate screen to list all claimants rescheduled for an orientation.

Two factors related to the revised management system in Florida combined to create significant problems when the state began operating WPRS although these problems were

eventually overcome. First, the time available to develop and test the new system was inadequate, so the system and the links between the ES and UI systems were not fully tested prior to implementation and did not operate as designed during the earliest phase of WPRS. Consequently, Florida's dependence on the computer system to manage the program led to major disruptions in managing WPRS when the system did not operate as designed, and benefit payments were delayed in many cases.[1] A second obstacle to using the new system was that the state did not have the funds to directly train local users of the system. Instead, the state trained regional staff, who in turn trained the local staff. The lack of direct training appeared to have made it somewhat difficult for local users to fully understand all of the details of the revised system, which exacerbated the early problems in using the system. Most of the problems with the Florida system were solved through communication with local staff and revisions of the system. The WPRS specialist in one of the local offices we visited claimed that the system now worked quite well.

SHARING OF INFORMATION

A primary objective of WPRS feedback was to notify UI when claimants had not complied with their WPRS obligations. Based on this information, UI conducted fact-finding and decided whether benefits should be denied. The transfer of information from ES to UI occurred in different ways in different states. In three states, the information was simply provided to UI verbally or in writing. In Maryland, for example, there already existed a form that ES used to notify UI of any failure to report to services. This form was now used by local WPRS coordinators to notify UI of noncompliance with WPRS participation requirements.

In the other three states, communication from ES to UI about noncompliance occurred electronically. The process varied somewhat by state. In New Jersey, for example, ES staff entered data on WPRS attendance directly onto the UI system. In Florida, as data on WPRS service attendance were entered onto the ES system, claimants' UI files were automatically revised to reflect their WPRS new status. Even in these states where WPRS compliance data were transmitted electronically between ES and UI, the same data were also usually exchanged verbally or in writing. This indicated that administrators were reluctant to rely solely on

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[1] One reason that problems arose with delayed benefit payments was that the Florida system was set up so that all claims assigned to WPRS were automatically flagged, and the claimants were not automatically paid unless all of the necessary WPRS participation data were correctly entered onto the system. Any mistakes in entering the data failed to remove the payment flag, so the system tended to initiate fact-finding and delay payment of benefits unless the system operators knew exactly how to use it.

electronically-transmitted data to manage WPRS compliance. In addition, at least one state (Florida) had significant problems with their data management system when they implemented WPRS, and additional sources of data were necessary to maintain accurate information on cases. Another problem in these states was that some local offices did not receive computer equipment before the beginning of the project. Hence, despite the fact that a data system had been set up to allow agencies to communicate electronically, staff were still communicating verbally or by written form because they did not have the computers that provided access to the data system.

Even states that communicated by written forms encountered trouble in implementing their system. For example, in Delaware the ES staff were required to forward copies of service plans for WPRS claimants to UI, and UI was responsible for monitoring compliance and making benefit determinations. Thereafter, ES simply reported to UI on service participation and any changes in the service plan. However, in the beginning UI staff complained that they did not always receive the service plans, making it impossible for UI to track compliance. Communication appeared to be working better now. Delaware also expected communication between UI and ES to improve once they adopted the new case management module being developed by ESSI for the ES data system. The system would allow them to maintain the service plans on the management system and do away with the written plans. Any changes in the plan could then be made on the system, and any agency that needed to use the plan could access the system.

In most states, a system of passing information on EDWAA training or reemployment service participation of WPRS claimants from JTPA to ES or UI was still being developed. None of the states had a JTPA data system that was linked to either the ES or UI systems, so most communication with JTPA was verbal or written. Thus far, none of the prototype states appeared to be developing automated systems for providing data from JTPA to the other agencies. States generally allowed the local offices to determine the exact form of EDWAA feedback, and most local offices had not adopted systematic processes for providing such feedback.

For example, one local Florida site, together with the Florida regional office and the local SDA, decided that a JTPA staff member would be located at the UI/ES office one day per week (subsequently increased to three days per week) to support the local efforts to refer WPRS claimants to training. Given this arrangement, the JTPA representative could provide verbal information to UI/ES about the progress of claimants in training. There was, however, no formal structure for sharing this information and the information was not stored. In one

other local Florida office, JTPA was already collocated with ES/UI prior to WPRS. Despite the collocation, there was no systematic communication between agencies about WPRS claimants who entered training. Florida was just one example; most of the other states had a similar lack of communication between JTPA and the other agencies. There was clearly a need for more systematic communication with JTPA, and many local offices attempted to develop this process further. In addition, some of the states (Oregon, for example) tried to link the data systems of the different agencies at the state level.

EXEMPTION, RESCHEDULE, AND DENIAL POLICIES

All states required referred claimants to participate in WPRS services unless they were exempted from participation. Exemptions were offered to claimants for whom participating in the program was inappropriate or represented an unreasonable burden. Those exempted generally included claimants who returned to work, stopped claiming benefits, moved out of the area, entered an approved training program, or had participated in services similar to those provided by WPRS recently. Florida, Oregon, and Kentucky had state policies that allowed local offices to exempt claimants from WPRS participation based on the distance between a claimant's residence and the WPRS site, and New Jersey also mentioned that one claimant had received an exemption because no WPRS site was accessible. Claimants who did not speak English also received WPRS exemptions in some states.

Those claimants who were required to participate in WPRS, but missed a scheduled service needed to provide an adequate excuse for their absence to receive benefits for that week, and they had to be rescheduled for the service. In some states (such as Maryland and New Jersey), UI already had the authority even before WPRS to require claimants to report to ES, while other states (such as Florida) were in the process of changing state regulations so that WPRS participation requirements could be enforced. In those states that already had experience in requiring UI claimants to report to ES, state staff asserted this experience made it easier for them to implement the WPRS participation requirements.

The states usually provided guidance on how strict local offices should be in disallowing benefits for missed services, but the final decisions were made by local staff. Some states or local offices appeared to be more lenient than others in allowing claimants to miss a service without denying benefits. In Kentucky, Oregon, and Delaware, claimants were generally not denied benefits for their first instance of noncompliance, regardless of the excuse that was given. Instead, they were simply rescheduled and notified to attend the next available service. These states also encouraged local staff to be as flexible as possible in developing service plans and applying the participation requirements. In Delaware, each of the local offices that we

visited claimed that only one or two claimants had been denied benefits. The entire state of Oregon had denied benefits to only three claimants due to WPRS nonparticipation.

Other states or local offices appeared to be more strict. In Maryland, we found relatively lenient application of participation requirements in one local office, but it was reported that some other offices were more strict. New Jersey generally appeared to be relatively strict. For example, an ES counselor in one local office in New Jersey asserted that the only automatically justifiable reason to miss an appointment was a documented job interview or a death in the family. Any other reason for missing an appointment would make them question whether the claimant was "able and available" for work and, therefore, whether they should be denied benefits for that week.

In all states, claimants were generally denied benefits if they missed multiple appointments or if they explicitly refused to participate in WPRS. The usual policy was to deny benefits for the week that the nonattendance occurred, but under some circumstances, benefits could be denied indefinitely. For example, in both Florida and Maryland, benefits were denied to claimants who missed a service until they reported for UI fact-finding. Maryland also denied benefits indefinitely to claimants after they missed three workshops. These claimants began receiving benefits again after they attended a workshop. In contrast, Florida did not have such a policy, so claimants could keep missing appointments, but still maintained their benefits as long as they provided UI with an acceptable excuse for each missed appointment. Staff in one of the local offices in Florida thought that this was a significant problem for WPRS, because it allowed claimants to avoid participation without losing any benefits. Adopting an explicit maximum number of missed appointments, similar to that used in Maryland, would make the Florida participation requirements more enforceable. Local office staff in Florida dealt with this issue by aggressively applying "able and available" standards and other traditional UI eligibility requirements for those WPRS claimants who missed multiple appointments. Florida directed local staff to conduct eligibility reviews of claims where the claimant missed more than two appointments. In some other states, multiple absences automatically represented willful noncooperation, and offending claimants were denied benefits for at least the one week. However, local staff in most case study states reported that most claimants who had their benefits denied once complied with the WPRS requirements after that time.

The WPRS legislation directed states to deny benefits to claimants who did not comply with WPRS participation requirements based on state rules. A problem arose in Florida because the state had not developed rules mandating WPRS participation.[2] Consequently, to enforce the WPRS participation requirements, Florida UI staff adopted a strategy of focusing on issues other than "failure to participate" in WPRS services in order to deny benefits. This strategy was adopted to avoid the possibility that UI appeals referees would overturn benefit denials based on "failure to participate."

All administrators reported that potential benefit denials were a crucial factor in encouraging claimants to participate in services. Administrators at all levels strongly asserted that participation would not occur if benefits could not be denied. Some states offered similar services to UI claimants on a voluntary basis in the past and had little success in getting claimants to participate. One state administrator suggested that the only other way to ensure participation would be to pay claimants to attend.

One problem with the threat of benefit denial was that it appeared to affect how agencies used the service plans. The service plans were intended to set out a full list of services that claimants needed to help them prepare for and find a new job. The threat of benefit denial, however, appeared to have made case workers reluctant to commit claimants to a list of mandatory services that would be used as the standard for determining compliance with WPRS and eligibility for UI. In one case study state, the service plan simply became an additional piece of paperwork that was filled out after the services had already been provided, usually all on the same day as orientation. Discussions with local case workers in one local office also revealed that the workers were unclear about the purpose of the service plan.

Another product of the WPRS feedback processes was that the states now had access to additional data that could be used to enforce the UI nonmonetary requirement that claimants be "able and available" for work during the periods in which they collected benefits. Failure to participate in WPRS triggered a fact-finding process that provided information that would not be available in the absence of WPRS. In some cases, claimants could be denied benefits based on the information gathered during the WPRS-related fact-finding process because it was determined that they were not "able and available" for work or were not in compliance with other nonmonetary requirements[3]. For example, a claimant who missed an orientation session

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[2] Florida submitted a draft of rules to DOL in November 1995; the rules are to be in place by January 1, 1996.

[3] Corson et al. (1986) describe the enforcement eligibility requirements in UI prior to WPR.

could call UI and say that they were ill that day. Such a response provided an acceptable excuse for missing the WPRS orientation, but it also led UI to ask further questions about availability for work during the rest of the week. If the claimant was not available for work because they were ill for the entire week, UI could determine that the claimant was not eligible for benefits for that week. States recognized that the fact-finding process associated with WPRS compliance provided additional information to enforce the UI eligibility rules. One state, Maryland, responded by curtailing their regular UI eligibility review activities by about 50 percent (before profiling, they reviewed about one in eight claimants).

In some states, staff preferred to deny benefits because of "able and available" issues rather than because of WPRS noncompliance. One example of this was in Florida, where the lack of rules on WPRS compliance caused local UI staff to use "able and available" and other traditional UI issues rather than WPRS issues to deny benefits to nonparticipants. UI staff also felt ore comfortable applying "able and available" requirements because they had more experience with them than the WPRS requirements. This could change over time as administrators become more familiar and more comfortable with the program.

AGENCY RESPONSIBILITIES

In most of the case study states, ES monitored compliance with WPRS requirements and referred claimants who did not comply to a UI claims examiner. UI was then responsible for determining whether a payment should be suspended based on information provided by ES. However, the exact responsibilities of each agency varied somewhat from state to state.

In Delaware, the UI profiling case manager determined adequate participation in WPRS based on the service plan and made benefit determinations in the case of missed appointments. In contrast, in Maryland UI played a more passive role, making a benefit determination once ES decided that a claimant had not adequately participated in WPRS. Either ES or UI (often both) were responsible for entering data that were necessary to maintain WPRS files. In at least two states (Maryland and Florida), the local offices tended to assign a single specialist to maintain the tracking data on WPRS claimants. In Maryland, this person was often also the same WPRS coordinator who led the job search workshop. As the offices became more familiar with WPRS and the associated data systems, the data maintenance responsibilities could eventually be shared with other staff.

In some states the agency responsibilities varied by office. In Oregon, for example, different agencies could be responsible for providing services and monitoring compliance. In one local office, either UI/ES, JTPA, or a community college were responsible for both

providing services and deciding whether participation was satisfactory. In another office, the WPRS coordinator (who was an ES staff member) determined satisfactory participation.

In some states, enforcing the WPRS participation requirements created a great deal of extra work for UI initially for several reasons. The local offices were just learning the system, and many claimants who should have received waivers or who had legitimate excuses were referred to a UI claims examiner by mistake. Lack of staff training appeared to contribute to this outcome in some states. In most states, the number of claimants whose cases were examined by UI because of potential WPRS noncompliance declined as staff learned the system better. In Maryland, local UI staff claimed they now examined only a few claims each week for WPRS-related reasons, and in Florida, local staff estimated that WPRS increased their workload by only about 5 or 10 percent. However, UI staff in New Jersey reported that they still received notices of noncompliance for a large proportion of WPRS claimants. In one local office, the manager reported that WPRS nonreporting was by far the most frequent reason for nonmonetary issues on claims. A UI supervisor in another office asserted that more clerks were needed to handle the additional work generated by WPRS issues.

Monitoring WPRS participation also proved to be a substantial effort for ES. WPRS monitoring added significant paperwork and data entry to the process of providing services. In some states, the lack of clerical assistance made it difficult to both provide services and to track participation. In some cases, the WPRS coordinator got clerical assistance to help maintain claimant tracking. But in many cases where no extra resources were provided for WPRS clerical assistance (for example, in Maryland), this was an ongoing problem.

CONCLUSIONS

States were required by the Federal profiling law to implement feedback mechanisms to track services received by profiled and referred claimants. All but one of the case study states attempted to use their existing staff and data systems, with relatively minor revisions or additions, to maintain feedback data on WPRS claimants. These states designed feedback systems in which case workers played a large role in the process, establishing a service plan, monitoring participation, and notifying UI of cases of noncompliance. The other case study state, Florida, constructed a more ambitious tracking system that automated the monitoring of compliance with WPRS participation requirements and the notification of UI and claimants of noncompliance. The complexity of the Florida system initially created problems in the operation of the system, but these problems were generally solved. The initial problems in Florida were due primarily to a lack of time to develop and test the new system prior to implementation and to adequately train local users of the system.

One key objective of WPRS feedback was to notify UI when claimants had not complied with their WPRS obligations. Hence, an important component of the feedback system was to establish a process for transferring information on WPRS participation from ES to UI. In half of the states, this communication occurred electronically, while in the rest of the states, the communication was verbal or in writing. Even in the states where communication occurred electronically, the same data were also usually exchanged verbally or in writing, indicating that administrators were reluctant to rely solely on electronic communication even in cases where it was available. Most of the case study states wanted to establish a system for JTPA to provide data on training participation to ES and UI, but these systems were still being developed. None of the states had a JTPA data system that was linked to either the ES or UI systems, so current communication with JTPA was verbal or written. Communication with JTPA clearly required additional work.

All states had a policy to deny UI benefits to claimants that did not comply with WPRS participation requirements. Most of the case study states attempted to be lenient in applying this policy. In three of the states, for example, claimants were generally not denied benefits for their first instance of noncompliance, regardless of the excuse that was given. Instead, they were simply rescheduled and notified to attend the next available service. But in all of the case study states, claimants were generally denied benefits if they missed scheduled appointments more than once without a reasonable excuse or if they explicitly refused to participate in WPRS. All administrators reported that potential benefits denial was a crucial factor in encouraging claimants to participate in services.

Two other factors related to enforcement of the WPRS participation requirements were apparent. First, the threat of benefit denial appeared to affect how agencies used the service plans. The threat of benefit denial appeared to make administrators and case workers reluctant to commit claimants to a list of mandatory services that would be used as the standard for determining compliance with WPRS and eligibility for UI. Second, the WPRS feedback system provided additional data to monitor compliance with traditional UI "able and available" requirements. The WPRS eligibility data therefore gave states additional opportunities to enforce the traditional UI requirements in addition to enforcing the new WPRS requirements.

VI CUSTOMER SATISFACTION WITH EARLY WPRS SERVICES

INTRODUCTION

Goals of the Customer Satisfaction Survey

The major goal of the WPRS initiative is to help dislocated workers become reemployed more quickly than they otherwise might. The success of the WPRS system, however, is defined not only in numbers reemployed and timing of reemployment, but also in the level of customer satisfaction with services received and experiences with the WPRS system. Furthermore, the opinions of customers of WPRS systems can and should be used to develop more responsive and, ultimately, more successful services.

As part of this study to evaluate the implementation of the WPRS system, therefore, we conducted a customer satisfaction survey of claimants who were profiled and referred in the early stages of implementing WPRS systems in test and prototype states.

The goals of this customer survey included:

- Assess how helpful initial services were to customers, both overall and for specific services.
- Determine how different types of profiled and referred claimants viewed the helpfulness of services they received.
- Determine the relationship between customer satisfaction and services received, including how services were delivered.
- Determine the relationship between customer satisfaction and outcome measures, including employment and wage replacement.

The reader must keep in mind that the development of the WPRS systems in the test and prototype states was just underway as the respondents of this survey received services. Some states did not have a fully developed service delivery structure in place; others were planning modifications to their designs after this initial implementation stage. The results of this survey are intended, therefore, to provide states with early feedback about aspects of their WPRS systems that might be adjusted to improve customer satisfaction.

Sample

The sample for the customer satisfaction survey consisted of 2,100 UI claimants who filed for benefits between October 1, 1994 and February 3, 1995, and were profiled and referred to WPRS services. One of the six prototype and test states had only 190 profiled and referred claimants during that period, so all claimants from that state were included in the sample. An equal number of claimants (382) was selected randomly from each of the five remaining prototype and test states.

The survey was conducted by mail, including two follow-up mailings during the months of June and July 1995. The number of returned and completed surveys totaled 1,143, for a 55.7% response rate.[1]

Appendix C provides information on the implications to the analysis of non-response by some claimants. There is evidence that our estimates of overall customer satisfaction are biased upward somewhat because those who responded earlier to the survey were more somewhat satisfied with the program than those who responded after the second mailing. Also, proportionately more customers who were age 55 and over responded, and customers 55 and older generally found the program more helpful than younger customers.

Presentation of Results

Appendix B presents the questionnaire and distributions of responses to each question. Most of the results presented in this report were based on the simple distributions or bivariate cross-tabulations of the responses to the survey. However, we also examined these relationships using multivariate analyses. All results presented in this report were similar after controlling for other factors that affect customer satisfaction. All of the relationships presented in this report were statistically significant, indicating that they were reliable and not likely to have resulted by chance.

OVERALL SATISFACTION

Customers overall satisfaction with the WPRS system was measured by asking how helpful the services were to them overall. As shown in Exhibit VI-1, not quite

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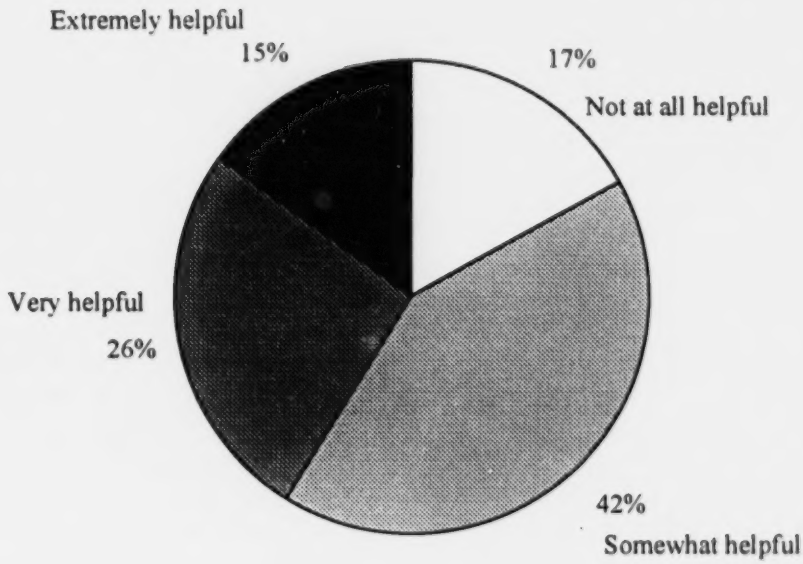
[1] The final sample used for analysis included responses from 1,143 selected and referred claimants out of a total of 2,053. Forty-seven original sample members were excluded from the sample, because they had been exempted prior to participating in services or because they were deceased at the time of the survey.

half (41%) of the customers rated the services as very or extremely helpful overall. There was substantial room for improvement in the service delivery under the WPRS system, with 42% rating the services as only somewhat helpful, and another 17% as not at all helpful.

Exhibit VI - 1

RATING OF OVERALL HELPFULNESS OF WPRS SERVICES



To put these results in perspective, WPRS responses were compared to similar questions from a survey of EDWAA customers that we conducted in 1994.[2] In that survey, we found that customer satisfaction with EDWAA was substantially greater among those who received training than those who only received basic readjustment services. To make a meaningful comparison, therefore, we present in Table VI-1 the rating of overall satisfaction for two groups: EDWAA customers who received only

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[2] See Dickinson, K., S. Kreutzer and C. Williamson, *Dislocated Worker Program Customer Satisfaction Survey*, Social Policy Research Associates, Menlo Park, CA, 1994.

Table VI-1
Comparison of Overall Satisfaction with Early WPRS Services and EDWAA Services among Those Not Receiving Training

Helpfulness of Services Received	Percent among Those Receiving Early WPRS Services and No Training Services	Percent among Those Receiving EDWAA Basic Readjustment Services and No Training Services
Extremely helpful	11%	18%
Very helpful	25	22
Somewhat helpful	45	40
Not at all helpful	19	20

basic readjustment services and WPRS customers who did not receive training through a WPRS referral (87% of WPRS customers).

Among those not receiving training, the level of satisfaction with WPRS services was somewhat less than with EDWAA basic readjustment services, primarily because fewer customer found WPRS services extremely helpful. Combining the top two categories, we find that 36% of WPRS customers rated services highly while 40% of EDWAA customers did so. This difference is not statistically significant.

Satisfaction with Service Delivery

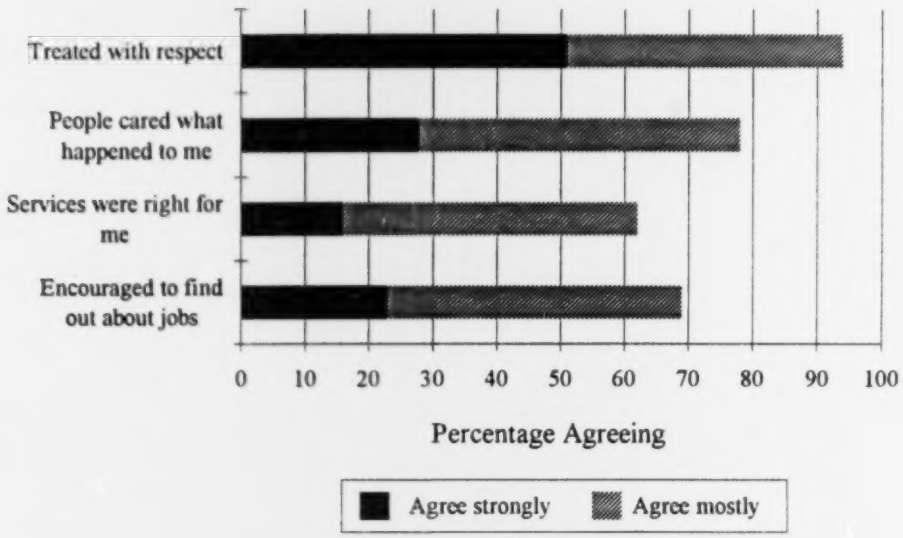
To explore the reasons for customers' overall levels of satisfaction, the questionnaire asked how much customers agreed or disagreed with several statements about how services were delivered. The top panel of Exhibit VI-2 presents the percentages of customers who agreed with the positive statements about service delivery; the bottom panel shows the percentages of customers who disagreed with the negative statements.

Customers were generally pleased with the way they were treated in the WPRS system. Nearly all agreed that they were treated with respect, and most agreed that the people providing services seemed to care what happened to them. One customer's comment illustrates this finding:

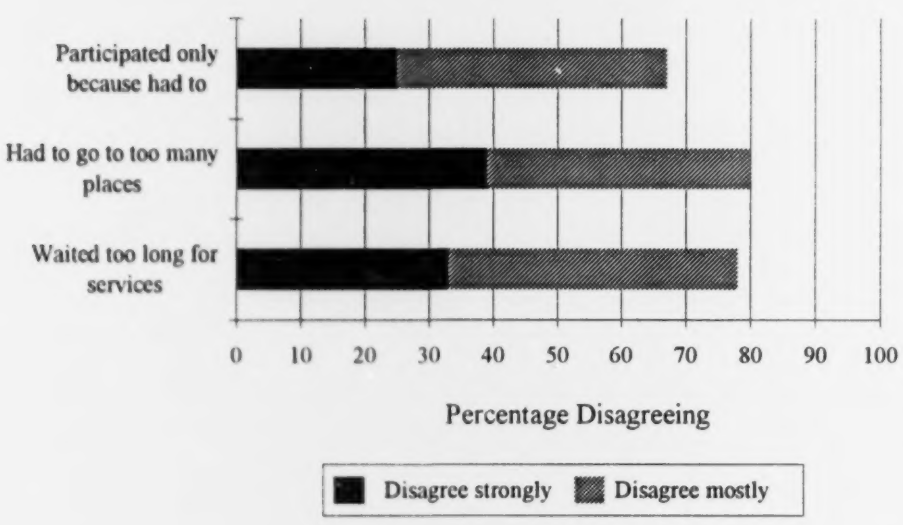
Exhibit VI - 2

EXTENT OF AGREEMENT WITH STATEMENTS ABOUT WPRS SERVICES

Agreement with Positive Statements



Disagreement with Negative Statements



> *"I was very impressed with the people at the office. They were all very helpful...My many thanks to the people."*

Almost two-thirds agreed with the statement that services received were right for them, a positive finding and one that reflected well on DOL's goal of providing appropriate services to profiled and referred claimants. Further supporting that goal, over two-thirds agreed that they were encouraged by those delivering services to find out about jobs that were right for them.

Most respondents disagreed with the statement that they had to wait too long to get services after filing a UI claim, implying that early intervention was indeed a reality. Reflecting generally well-coordinated service delivery, most also disagreed that they had to go to too many places to get the help they needed.

More than two-thirds of respondents disagreed with the statement that they did not want to participate in these services and only did it because they had to. This suggested that most claimants understood the value of WPRS services and that the mandatory nature of services was not an issue for most claimants identified as more likely to exhaust UI benefits. The minority of respondents who agreed with the above statement may not have initially believed that they needed additional services, but may have ultimately benefited from the mandatory nature of the WPRS system.

Influence of Service Delivery on Overall Satisfaction

Because DOL was interested in helping providers of WPRS services to identify specific ways to improve the level of customer satisfaction, it was important to examine the relationship between customers' overall satisfaction with the WPRS system and their satisfaction with the delivery of services. Determining relationships, however, was difficult because customers' ratings of various aspects of service delivery were highly correlated. To sort out the independent effect of each aspect, we controlled for the customers' answers to all other questions about service delivery using a multivariate procedure.[3] Exhibit VI-3 presents the estimated differences in overall satisfaction for those aspects of service delivery with significant independent effects.

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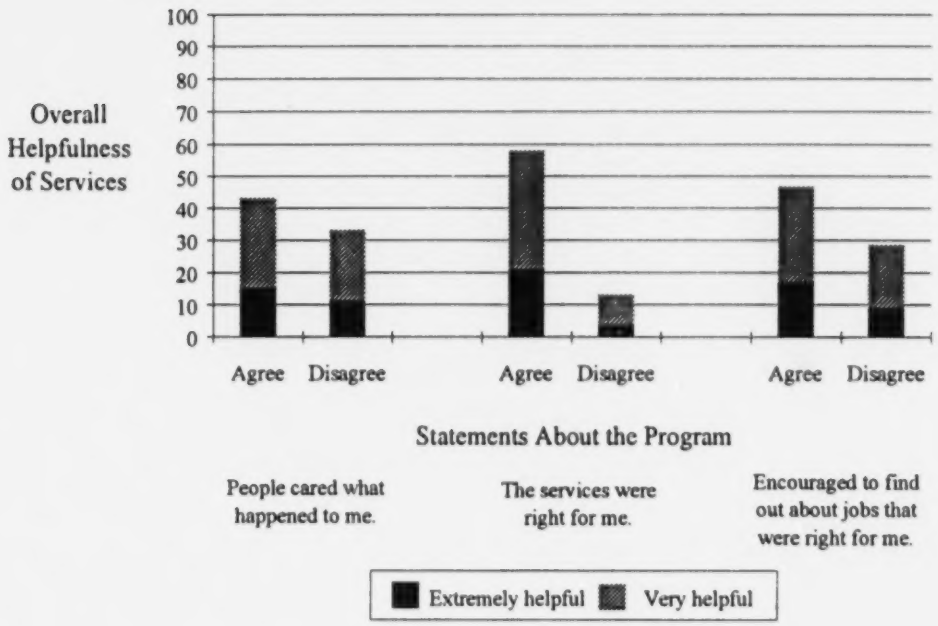
[3] Multivariate regression was used to obtain estimated levels of satisfaction for each aspect of service delivery, assuming that customers had average responses to all other questions. To address the problem of using multivariate regression when the dependent variable is arbitrarily scaled (i.e., whether the program is extremely, very, somewhat or not helpful) each category was treated as a dichotomous variable.

Exhibit VI - 3

RATING OF OVERALL HELPFULNESS OF SERVICES BY AGREEMENT WITH STATEMENTS ABOUT THE SERVICES



These relationships suggested that efforts to increase the individualized nature of services could increase customers' overall satisfaction with the program. Among customers who agreed with the statement that the services were right for them, 58% found the WPRS services either extremely or very helpful, compared to only 13% of those who disagreed with that statement. Further, customers who agreed that they were encouraged to find out about jobs that were right for them were 18 percentage points more likely to find the services helpful.

Some customers volunteered comments that illustrated the importance of matching services to customers needs. One respondent gave an indication of why services were not right for him:

> *"The program is not well founded to help persons such as myself who are mid-level or upper-level executives with a bachelors degree in a non-technical field and have been earning $40,000 per year and above."*

Another noted,

> *"It didn't work for me because it was geared toward people who didn't know how to look for work."*

Being treated well by program staff also increased customers' levels of satisfaction. Among those who agreed that the people delivering services seemed to care what happened to them, 43% found the services helpful compared to only 33% of those who disagreed.

Influence of Claimant Characteristics on Overall Satisfaction

Only one customer characteristic was related to overall satisfaction with the WPRS services: age.[4] As Exhibit VI-4 represented, about 52% of customers age 55 and over were more likely to rate the services as extremely or very helpful, while only 34% of those under 25 rated the services so favorably.

This may be explained by older claimants' experiences in the labor market. Several respondents volunteered remarked on the difficulties older workers face when looking for work. As one respondent noted,

> *"I had qualifications for different jobs, but because I'm over 55, I did not even get interviews. The employment office had me send out resumes, but younger ones were sent out always got those jobs. Most companies do discriminate against people who are over 55."*

Another noted,

> *"I have found it in my best interests to not put anything on my resume that even indicates a date of any sort and to avoid any mention of salary history. On that basis I get to an interview once in a while."*

These comments suggest that WPRS services may help older claimants with strategies to help combat these obstacles unemployed older workers face.

We found no evidence that overall customer satisfaction was related to other claimant characteristics, including race, gender, or levels of education. Customers' previous job characteristics, including previous wages and job tenure did not affect

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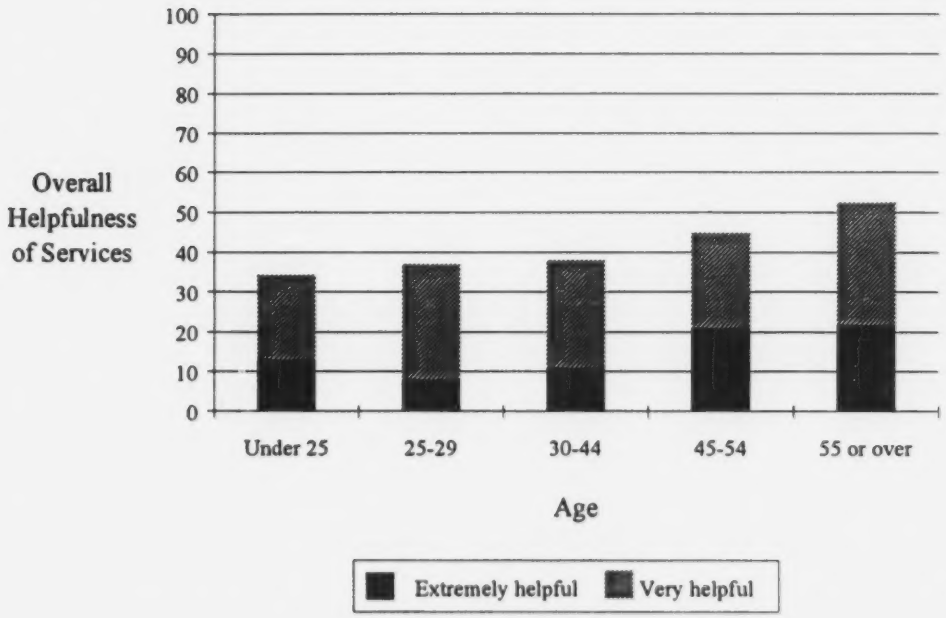
[4] This relationship was not due to the correlations of age with previous wage and job tenure. Neither of these latter fact were highly correlated with overall satisfaction.

their overall satisfaction with the program, nor did local economic conditions, as measured by unemployment rates.

Exhibit VI - 4

RATING OF OVERALL HELPFULNESS OF PROGRAM BY AGE



SATISFACTION WITH DIFFERENT SERVICES

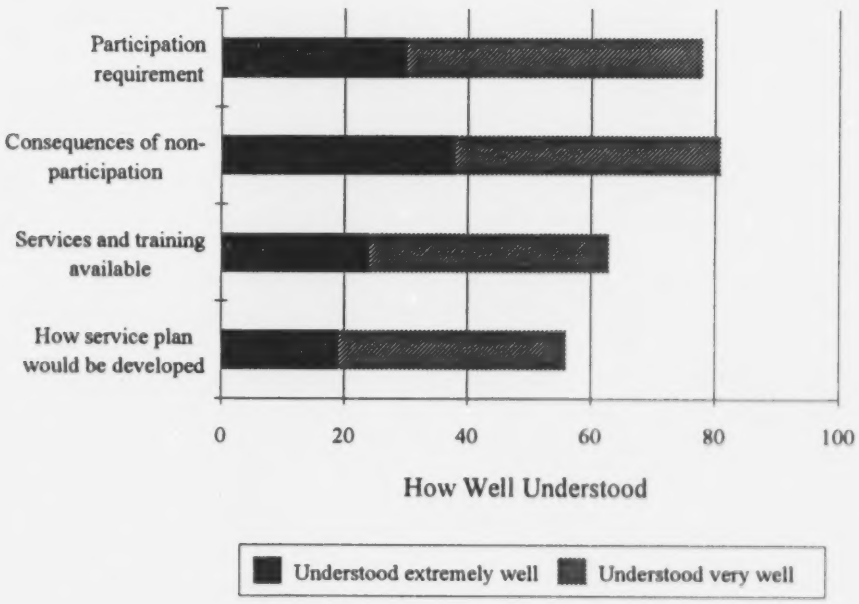
Helpfulness of Individual Services

Customers who attended an orientation meeting or workshop were asked how well they understood some important aspects about the program. As shown in Exhibit VI-5, most understood the mandatory nature of the services, but fewer understood exactly what those services might be. Over 80% of respondents understood what was required of them as participants under the WPRS initiative and the consequences of not participating in the required services. Another two-thirds understood what services or

training were available through the WPRS system as well. At the point of this initial meeting, however, the goal of developing individualized services for profiled and referred claimants was not clear to many of those who responded: just over half understood how an individualized plan for services would be developed to help them find a new job.

Exhibit VI - 5

CONCEPTS UNDERSTOOD AFTER ORIENTATION



As shown in the top of panel Exhibit VI-6, about three-quarters of respondents received reemployment services designed to promote rapid reemployment: labor market information and job search preparation or training (e.g., preparing a resume, filling out applications, and conducting job interviews). A very large majority also received information about how to find out about job openings. A slightly smaller proportion of claimants received services that were needed to customize reemployment services: assessment, career counseling, and service planning.

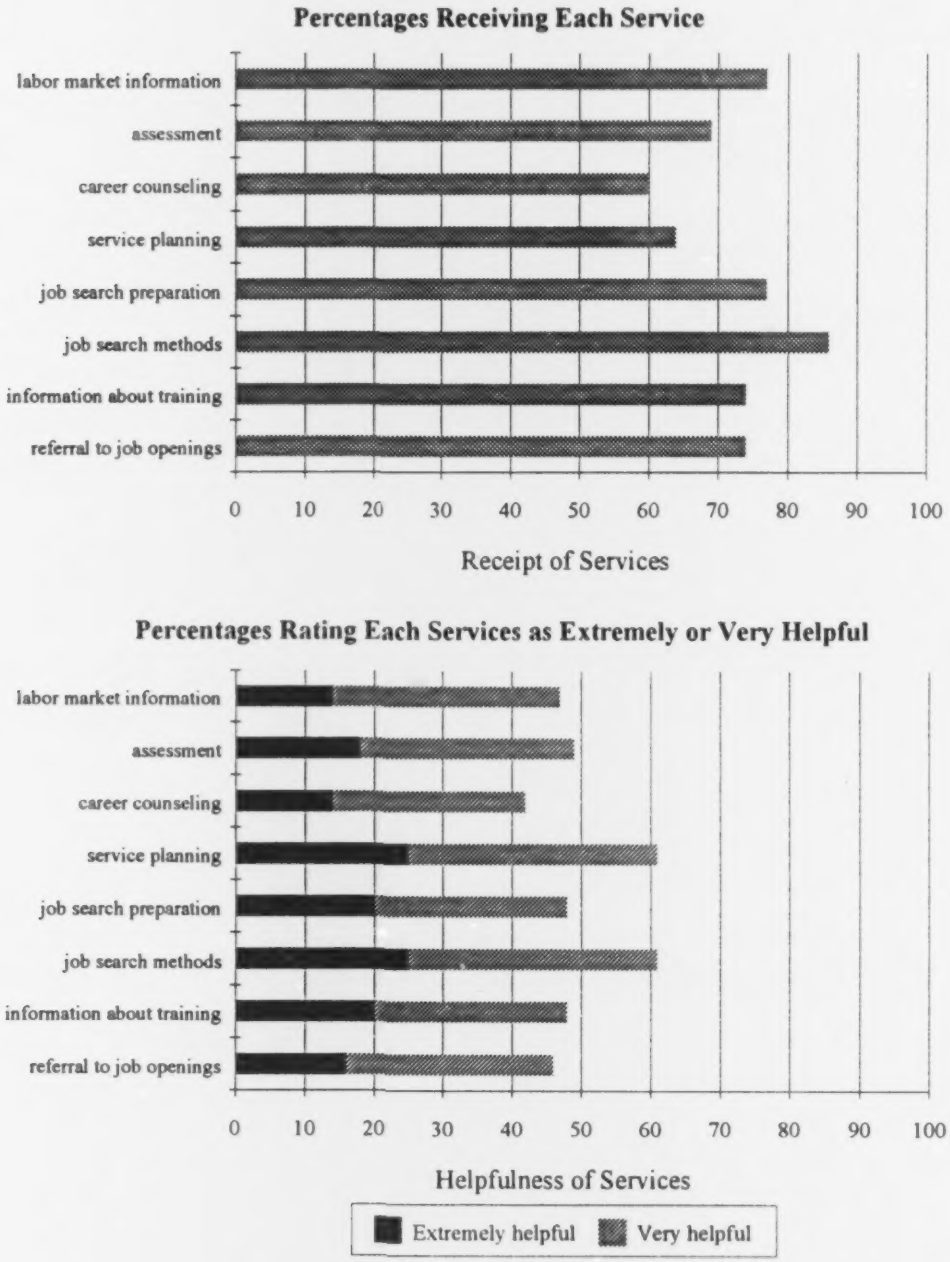
The bottom of panel Exhibit VI-6 showed the percentage who rated each service as extremely or very helpful, among those who received each service. Services that customers found most helpful were help in developing a service plan, job search training services—including help with resumes and conducting job interviews—and how to find out about job openings. Customers were generally less satisfied with assessment and career counseling.

Influence of Services on Customer Satisfaction

Generally, the receipt of each individual service did not strongly influence how helpful claimants found the WPRS system, once other factors such as other services received were accounted for. However, one service—the development of an individual service plan—had a strong influence on customers' satisfaction. Further, customers who reported receiving help in developing a plan for services were substantially more likely to agree that the services fit their needs and that they were encouraged to find jobs that were right for them. As we demonstrated above (Exhibit VI-3), customers who felt the services and job referrals fit their needs were substantially more satisfied with the program overall.

Exhibit VI - 6

SERVICES RECEIVED AND RATING OF HELPFULNESS OF THOSE SERVICES



We also examined whether the intensity of services influenced the level of customer satisfaction. Table VI-2 presented the percentages of claimants who reported receiving various numbers of services and various hours of services.

Table VI-2
Distributions of Intensity of Services Received

Number of Services Received		Hours of Services Received	
Number of Services	**Percentage of Claimants**	**Hours of Service**	**Percentage of Claimants**
0 - 2 services	17%	No Service Beyond Orientation	16%
3 - 4	16	Less than 5 hours	34
5 - 6	18	5 - 9	20
7 - 8	44	10 - 19	14
9	5	20 or more	12
		Still receiving service	4

As Table II-2 and Exhibit VI-7 indicated, customers who received a larger number of services were substantially more satisfied with the program overall. Similarly, customers who participated in more hours of service were also more satisfied overall.

The WPRS system may refer profiled and referred claimants to training in educational or occupational skills. A previous study found that EDWAA customers who received training were substantially more satisfied with that program.[5] This relationship held here, as well. Only about 27% of claimants were referred to classroom training in educational skills, training in occupational skills, or OJT, but

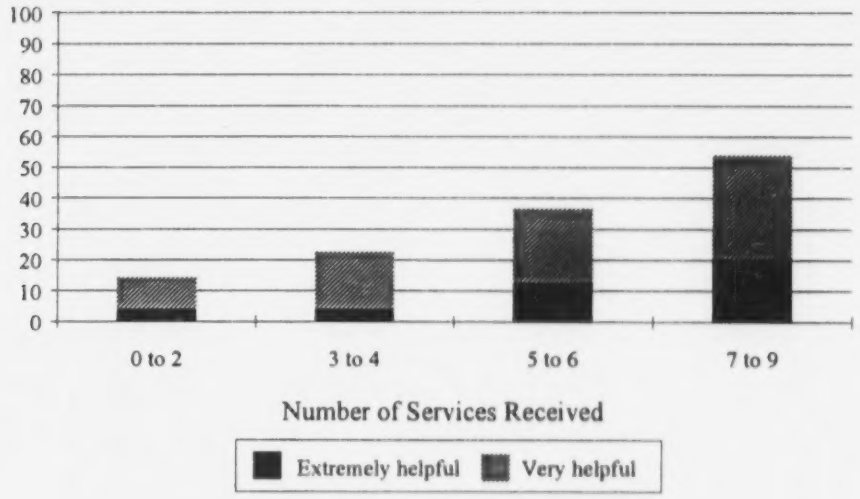
[5] See Dickinson, et al., 1994

among these respondents the levels of overall satisfaction with services was substantially higher. Among the customers who were referred and actually participated

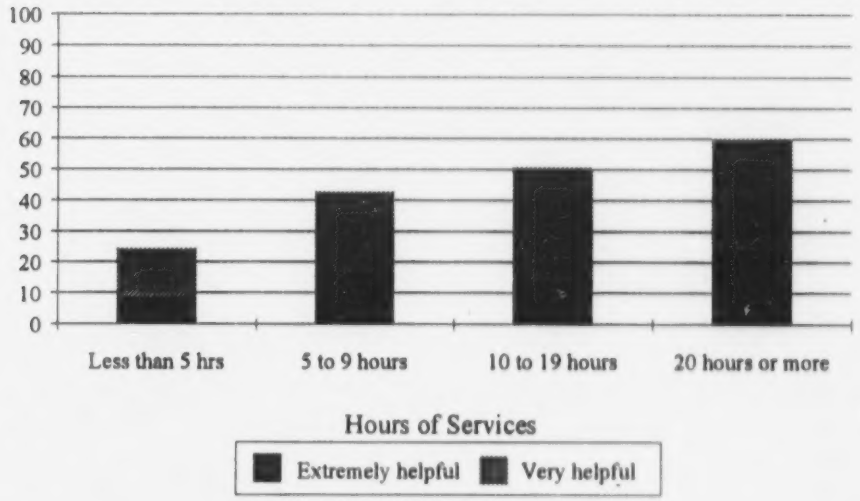
Exhibit VI - 7

RATING OF OVERALL HELPFULNESS OF PROGRAM BY COMPREHENSIVENESS AND INTENSITY OF SERVICES

Overall Helpfulness of Program by Number of Services Received



Overall Helpfulness of Program by Total Hours of Services



in training, almost three-quarters (73%) rated WPRS services overall as extremely or very helpful. Among those who were referred to training but did not participate in training, 46% rated WPRS services as very or extremely helpful. Among those who received WPRS services but were referred to training, only 34% rated WPRS services favorably.

The option of referral to training may be important to those with skills that were not in demand in a shrinking job market. One respondent noted that

> *"I certainly didn't need to waste my time practicing filling out resumes or applications—something I've done all my working life...I would have appreciated some help in retraining for a more stable profession..."*

Relationship Between Customer Satisfaction and Outcomes

The primary goal of the WPRS system is to provide services designed to speed the rate of reemployment among those more likely to exhaust their benefits. Questions in the survey asked about previous and current employment, including current employment status and current and previous wages. Table VI-3 showed the average response to each of these questions, as well as the wage replacement rate achieved by those employed at the time of their response.[6] The bottom panel presented the distribution of wage replacement rates achieved.

No significant relationship was found between outcomes—either employment or wage replacement—and overall customer satisfaction. This result was surprising and inconsistent with the results for EDWAA, where customers' satisfaction was strongly correlated with outcomes for that program. This result may be due to the fact that survey respondents participated very early in the development of WPRS services.

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[6] As shown in Appendix C, this employment rate was likely biased downward by nonresponse because those responding late to the questionnaire (and were thus more likely to be similar to the nonrespondents) were more often employed than those who responded early. We also looked at respondents' claim date in relation to the rate of employment and found that among those in our sample who applied for benefits in the later months, fewer were employed. Among those with claim dates in October 1994, 63% were employed, while among those applying for benefits in January, only 45% were employed. This implied that surveying some claimants sooner in their claim underestimated the eventual employment rate of these claimants. There was, however, no relationship between claim date and overall satisfaction with services.

Table VI-3
Outcomes for Respondents

Average Employment Outcomes	
Percent employed at time of response	56%
Average previous hourly wage	$11.04
Average current hourly wage	$9.79
Average wage replacement rate	93%

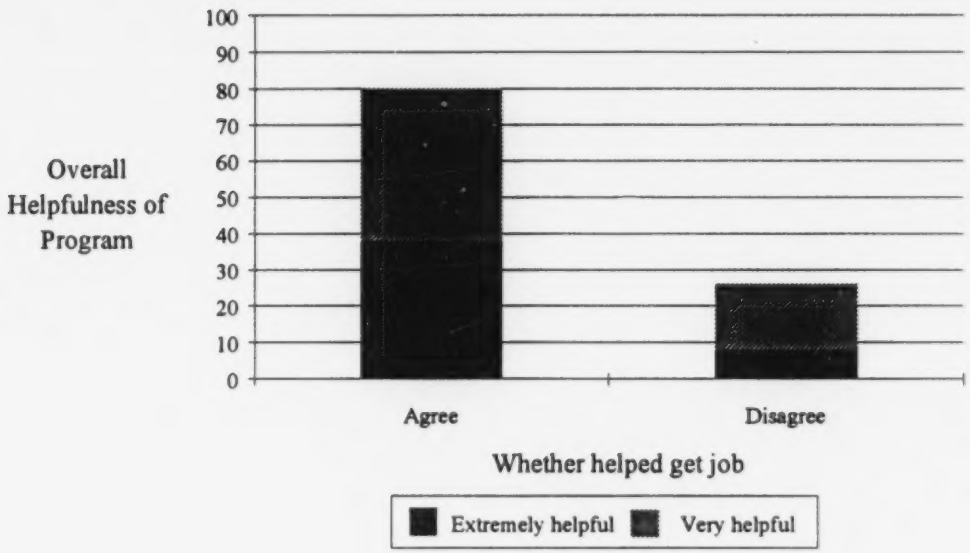
Distribution of Wage Replacement for Those Employed at Time of Interview

Wage Replacement Rate	Percentage of Respondents
0% to 69%	20%
70% to 79%	10
80% to 89%	14
90% to 99%	11
100% to 109%	23
110% or more	22

Those employed at the time they responded were asked how much they agreed with the statement that WPRS system helped them get a job. About 20% agreed with that statement. Not surprisingly, those who agreed were nearly three times as likely to find the WPRS system services helpful overall than those claimants who did not (see Exhibit VI-8).

Exhibit VI - 8

RATING OF OVERALL HELPFULNESS OF PROGRAM BY WHETHER SERVICES HELPED GET JOB



CONCLUSIONS

This report examined the experiences of a representative sample of customers of early WPRS services. Several findings related to customers' satisfaction with the services provided under the newly developed system:

- A substantial percentage (41%) of profiled and referred claimants rated the WPRS services as extremely or very helpful. This percentage was fairly similar to the level of customer satisfaction among customers receiving basic readjustment services only under the EDWAA program.
- The levels of satisfaction were influenced by the way services were delivered. Claimants who felt providers cared what happened to them, encouraged them to find out about jobs that were right for them, and provided services they felt were right for them were substantially more satisfied with WPRS services overall.

- Customers who received more intensive services, in terms of the total number of hours of services and in the total number of services, had higher levels of overall customer satisfaction.
- Whether or not claimants were employed at the time they responded to the survey, and for those employed, the level of wage replacement, did not influence the levels of overall customer satisfaction. Employed respondents rated WPRS services as more helpful if they felt that WPRS services helped them get the job.

We surveyed customers who participated in WPRS services in an early stage of implementation in the test and prototype states. Our purpose was to provide these states with early feedback about customer satisfaction and uncover ways that services could be improved. The results of this survey suggested several practices that were expected to increase levels of customer satisfaction and thus should be encouraged:

- **Customizing services.** Developing individual service strategies with claimants helped focus customers' efforts in their search for reemployment. Customers gave high marks to this service. Further, customers who received help developing such plans felt that the services they receive were right for them and thus found services more helpful overall.
- **Encouraging claimants to find appropriate jobs.** Program operators who encouraged customers to find jobs that fit their levels of skill and experience would likely increase the level of customer satisfaction with their services overall.
- **Ensuring that claimants felt that program operators care** what happens to them. Most customers agreed that service providers cared what happened to them, but those who disagreed found the services substantially less helpful.
- **Providing high-quality services.** Developing a wide choice of services for claimants was likely to increase levels of customer satisfaction. Similarly, providing customers with longer-term services would likely increase customer satisfaction.
- **Providing referrals to training services.** Referrals to training providers was important to those with obsolete skills and was likely to increase customer satisfaction for this group of claimants.

VII CONCLUSIONS AND RECOMMENDATIONS

This report examined the initial implementation of the WPRS initiative undertaken by the prototype and test states. We found that the prototype and test states made substantial efforts putting together all the essential elements of WPRS systems and had systems that were working to help dislocated workers. The systems that were initially in place, however, were expected to improve as they matured. The information presented in this report, therefore, was intended to help facilitate states' continuous improvement efforts. In this chapter, we draw together our results to assess how well states have met the goals of the WPRS initiative and made recommendations to improve those efforts.

Early Intervention to Those Most at Risk

One important goal of the WPRS initiative is to intervene early to help those most at risk of exhausting benefits. To a large extent, the WPRS systems we studied were able to conduct profiling soon after initial claims were made and thus referred selected claimants to services early in their unemployment spells. A few sites, however, encountered problems obtaining all of the data needed to conduct profiling in a timely manner. In one state, intake staff did not identify occupation information when it was needed so that profiling and, consequently, referral to services were both delayed. For many initial claimants, the delay in obtaining data exceeded five weeks so that these initial claimants were never profiled or referred to services. Although these delays in obtaining data were probably start-up problems and would eventually be resolved, it behooved states to take steps during their planning and implementation to impress upon staff who were responsible for collecting the data required for profiling, the importance of timely availability of these data.

Delays in referral to services were also encountered in sites where service capacity of each local office was predetermined for the entire program year. As a result, areas experiencing dislocations higher than expected could not serve those with a high risk of exhausting benefits when they were initially profiled. Four states retained individuals who were not referred after initial profiling in a selection pool for up to 5 weeks. Therefore, although some of these profiled claimants eventually received services, service receipt was delayed from one to five weeks. In one site, individuals who could not be served were placed on a waiting list and referred to

services in the order they were placed on the list. As a result, many individuals served in that site waited several weeks to be referred to services. In sites where the number of at-risk claimants identified persistently exceeded service capacity, many profiled claimants never received services.

Given that funding for reemployment services was limited, it was important that states retained flexibility in determining service capacity of local offices, to accommodate changes in levels of dislocation within the program year. Reallocating capacity to areas with greatest need could alleviate some of the delays in referral to services.

States also made substantial progress in identifying claimants at risk of exhausting benefits. Five of the states had developed statistical profiling models, usually based on the DOL prototype but modified in several ways to reflect each state's labor market. Although states' profiling procedures identified those with the highest probabilities of exhaustion, several respondents in our site visits raised the question of whether all of these claimants needed reemployment services to find new employment. Of particular concern was whether those who were more highly educated and previously earned higher wages took longer to find reemployment because it took longer to find comparable jobs rather than because they lacked job search skills. As discussed below, in part this concern reflected a mismatch between the services needed by these claimants and the types of services provided. Nonetheless, this issue raised some concerns about how to best include variables such as job tenure and previous wage in profiling models.

States were also struggling with ways to identify declining industries and occupations for inclusion in the profiling models. States used very different ways of accounting for the influence of previous industry and/or occupation on probability of exhaustion. Greater sharing of approaches among states would probably help states devise appropriate solutions to this problem.

Provide Required Needed Services

Another goal of the WPRS initiative is to provide profiled and selected claimants with appropriate reemployment services in which they were required to participate. To meet this goal, it was incumbent on the UI system to establish coordination linkages with service providers such as ES and EDWAA. In all sites, we found that coordination linkages between the UI and ES systems were working relatively well, but

in most sites, the linkages between UI or ES with EDWAA were less well established. Because EDWAA programs had substantial expertise in servicing dislocated workers with diverse needs, state and local UI and ES agencies could probably benefit by improving linkages with the EDWAA system to take better advantage of this expertise.

Although local agencies played an important role in delivering reemployment services, states varied in the extent they involved local office staff in the development of policies and procedures about these services. It was evident that local offices that had a voice in deciding the policies and procedures under which they operated felt greater ownership of their local WPRS system and consequently were more interested in improving the delivery of services in their local sites.

All of the prototype and test states provided an array of services to profiled and referred claimants. In most cases, these services were similar to services providers made available to their typical clients, with little or no modification for the WPRS system. All of the states required profiled and referred claimants to attend an orientation, either as a stand-alone service or part of a workshop. Although not universal, nearly all of the states required an individual or group assessment followed by the development of an individual service plan. In some of the local sites, all claimants were required to participate in at least one additional specific service, such as a job search workshop. In other sites, claimants were required to choose at least one additional service from a list of available services.

Although WPRS sites had established policies about mandatory services and provided these required services to profiled and referred claimants, we found that in many cases services were not very comprehensive or intensive. There appeared to be several reasons for this. First, most states and local areas were not using the individual services plans as DOL had envisioned. In many cases, the plans were completed to only satisfy mandated requirements rather than to guide the design of a customized service plan and to keep track of claimants' progress through the plan. Therefore, once plans were completed, they were rarely reviewed and revised.

Second, many of the WPRS staff were reluctant to specify extensive services in claimants' service plans because, in most sites, individuals were subject to benefit denial for nonparticipation in any service in their plans. This reluctance to establish a comprehensive plan often meant that claimants would only do what was minimally required.

Finally, although some claimants' service plans called for referral to training, many sites had no mechanism to follow up on whether such claimants received retraining.

Several claimants in our focus group discussions indicated that they felt that required services did not meet their needs. Results from the customer satisfaction survey confirmed that the level of satisfaction was higher when services were more intensive and when customers felt their services were right for them.

SANCTIONS

To assure that profiled and referred claimants participated in reemployment services, the worker profiling law (P.L. 103-152) subjected profiled and referred claimants to UI benefit denial for failure to participate in required services. States and local offices varied in how stringently they enforced the sanctions imposed for not meeting the participation requirements. In particular, they varied in what they accepted as justifiable cause for missing a service and in how many times a claimant could reschedule a required service because of justifiable cause.

One unexpected advantage of the WPRS mandatory participation requirement was that it made it easier for UI to enforce the "able and available" for work requirement. Frequently claimants missed WPRS services for reasons that meant they were unavailable for work. On the other hand, the mandatory nature of WPRS services had some unexpected disadvantages. Some service provider staff were reluctant to develop longer-term services that would be required of all profiled and referred claimants. As discussed above, staff were also reluctant to include additional services in claimants plans because they would be required to participate longer. Further, in some sites the linkages with EDWAA were difficult to establish because EDWAA staff were concerned about the mandatory nature of WPRS services.

RECOMMENDATIONS

The results of this study suggested several steps that federal, state and local agencies could take to improve the implementation of WPRS systems.

Early Intervention to Those at Risk

- Facilitate the ability to intervene early by ensuring that all the agencies involved in providing the needed data understand the importance of providing timely data and are trained in their new responsibilities.

- Encourage strategies to add flexibility for matching local capacity to local demand. When states have the ability to reallocate a given level of resources to accommodate changing demand, they are better able to assure that those with highest probabilities of exhaustion are served across their states.
- Facilitate the sharing of modeling approaches among states, especially in incorporating measures of declining industries and occupations and specifying the combined effects of job tenure and previous wage.

Improved Services

- Involve local administrators and staff from all agencies in the development of policies and procedures that affect local office operations. The more involved local offices are, the greater their commitment to developing and operating an effective WPRS system.
- Develop better links with EDWAA programs to take better advantage of its expertise in providing services to dislocated workers with a wide variety of needs.
- Improve the use of individual service plans by developing customized individual service plans and providing a wide array of services. Customers who report receiving help in developing such plans are substantially more satisfied with services and are more likely to see the services and jobs they learn about as right for them.
- Develop more comprehensive and intensive services, including a wider array of services and longer-term services appropriate for WPRS claimants. Customers who participated in more intensive services were more satisfied with WPRS services.

Customer Satisfaction

- In addition to improving services, encourage claimants to find out about appropriate jobs. Program operators who encourage customers to find jobs that fit their levels of skills and experience will likely increase the level of satisfaction with their services overall.
- Ensured that claimants feel that program operators care what happens to them. Most customers agreed that service providers cared what happened to them, but those who disagreed reported that services were substantially less helpful.

Feedback

- Invest in developing automated feedback mechanisms to improve tracking participation without increasing paperwork and to allow for more case management in providing WPRS services.
- Develop systematic mechanisms to obtain feedback from EDWAA about WPRS claimants' participation in training.

Sanctions

- Develop ways to meet staff concern that lengthy service plans increase claimants' risk of sanctions. For example, some sites distinguished between mandatory and suggested services in claimants' plans to encourage more comprehensive and long-term service plans.
- Encourage greater uniformity in the application of sanctions, at least within states.

Appendix A

Descriptive Profiles

PROFILE OF THE WPRS SYSTEM IN DELAWARE

BACKGROUND

Delaware built on a well-established national UI program when developing its WPRS system. The national UI Eligibility Review Program, in which UI staff identified claimants who needed special assistance in finding reemployment, or for whom some questions arose regarding continuing eligibility was firmly incorporated into UI operations in the state. Dedicated staff under this program were responsible for following up on claimants' work search activities during their benefits period and making referrals to appropriate agencies for reemployment services. Delaware utilized the training and experience of ERP dedicated staff to develop appropriate referral mechanisms and services of its WPRS system.

PARTNERSHIPS AND COORDINATION

The Unemployment Insurance Division, along with the Division of Employment and Training (DET) and Office of Occupational and Labor Market Information (OOLMI)—all partners in WPRS—resided in the Delaware Department of Labor. The UI Division led the effort to develop the state's WPRS system, but involved key state staff from the other divisions from the beginning.

DET administered virtually all of the state's employment and training programs, including Job Service/Wagner-Peyser, EDWAA, and other JTPA programs (II-A was co-administered by the governor-appointed PIC). All employment and training dollars coming into the state were overseen by the governor's Workforce Development Council, which served the functions of the SJTCC and supervised the flow of employment and training dollars from all sources. The state of Delaware was designated a single substate area; there was no distinction between EDWAA 40% and 60% funds.

DET local offices primarily operated Job Service/Wagner-Peyser programs and EDWAA. They were collocated with UI offices, but DET and UI offices were managed separately. Local DET offices were providers of WPRS reemployment services.

PROFILING AND SELECTING CLAIMANTS

Delaware took advantage of the timing of the implementation of the WPRS system, and redesigned their long-standing UI application form. The committee set up to develop it was committed to combining it with the form used by DET to register claimants for work search in order to limit the paperwork burden put on claimants, and increase efficiency and productivity of state staff. The list of items for which data were to be collected was expanded to include those to be used in profiling claimants—whether or not the claimant was attached to a union hiring hall, level of education or degree, and job tenure. Additional phone number information was also included to facilitate resolving adjudication issues.

Delaware used a characteristics screen methodology to identify claimants most likely to exhaust their UI benefits. The first screening process excluded **interstate claimants** and claimants attached to the labor force, identified by **attachment to a union hiring hall** or having **a definite recall date**. After a first payment was made, claimants were identified using pre-determined cutoff levels for three more variables:

- Job tenure. Claimants needed to have been in their job or occupation for three years.
- Previous primary industry. Those from "declining growth" industries, identified as industries with projected growth rates below the average, passed this screen. Primary industry was defined as that in which the claimant earned the most money during the base period. This was done to avoid capturing stopgap employment for individuals displaced from industries that were downsizing.
- Previous occupation. Those from declining, no growth, or "slow" growth occupations passed this screen.

Data pertaining to labor force attachment (union hiring hall and recall date) and job tenure were collected on the joint UI/DET intake form. Previous occupation was coded by DET staff, based on descriptions provided by the claimants when they registered for work. Claimants must register for work within seven days of applying for UI benefits. Data on previous industry were picked up from information generated by UI's Master Wage File, once claims information was entered into UI's MIS.

Delaware developed a new profiling MIS for profiling and tracking purposes, with the help of technical assistance provided by U.S. Department of Labor. Data for profiling claimants were electronically collected from UI employer and benefits files, DET data base files, and OOLMI files that identified declining occupations and

industries. A Profiling Master File was developed weekly that included individuals meeting the characteristics criteria outlined above. Information on individual profiled claimants, pertaining both to UI benefits and reemployment services, could be accessed on the profiling system.

The profiling system was used to produce a weekly missing data report. The report identified critical data that were necessary for the profiling process, and that were missing for those claimants who had been issued a first payment. Local UI offices received copies of the report that indicated which data were missing and for which claimants. In cooperation with local ES staff, UI corrected or gathered the necessary data items.

Claimants who met the characteristics criteria made up the profiled "pool" from which individuals were randomly selected for referral to reemployment services. Those who were not selected in the first week could be considered for selection in subsequent selections for up to five weeks. Numbers referred were constrained by space and available staff in each of the three local offices.

Delaware planned to use a statistical model to identify those most likely to exhaust UI benefits once it had sufficient historical data on claimants' job tenure, previous occupations, and labor force attachment for its development. Items being considered for inclusion as predictors, in addition to those used in the characteristics screens, were a claimant's level of education, which the UI division started collecting late in calendar year 1994, and substate unemployment rates. Delaware planned to implement the use of its statistical model in CY 1996.

PROVIDING SERVICES TO CLAIMANTS

All profiled and referred claimants were notified of their obligation to attend an initial orientation at which they were notified of the mandatory nature of participation and provided information about services available through DET. Appointments were generally made at the orientation for individual assessment interviews, usually within a week following orientation.

All WPRS participants received assessment interviews. During this service (or shortly thereafter, depending on assessment needs), an individualized service plan was developed. All services identified on the plan were "required services." This interview was generally conducted by EDWAA-designated staff. The assessment could

be a discussion of client's employment history, skills and interests, or claimants could be assessed for all or any of the following:

- Literacy level, education level and training background, and attitude toward the adequacy of education.
- Health status, including history of work attendance problems and the health of family members.
- Communication skills, including familiarity with terminology in one's trade.
- Child care needs.
- Money management issues.
- Family circumstances.

Claimants were also assessed for EDWAA eligibility during the assessment interview.

Job ready claimants could be provided services that were generally available under Job Service, including testing, job development, job referral, resume preparation assistance, labor market information and job search workshop. Job search workshops were developed by each local office, and might include skills and interest analysis, goal setting, business and labor market trends, resume preparation, sources of job vacancy information, practice completing job applications, and interviewing skills. Job search workshops could be tailored to particular groups, e.g., professionals and managers.

EDWAA basic readjustment services were available for claimants who need more intensive case management services, supportive services, relocation assistance, or more individualized reemployment services. Delaware planed to provide services to the majority of profiled claimants through its EDWAA system.

Obtaining Feedback on Claimant Participation

The development of the WPRS system in Delaware took advantage of the working relationship between staff at local UI and DET offices. Each local Eligibility Review Program (ERP) interviewer was designated as profiled claimants' UI "case manager." The ERP interviewer monitored profiled clients services in relation to their service plans, and identified and helped resolve problems related to compliance (e.g., not able and available, not searching for work, not participating in activities).

After profiled claimants attended orientation and developed a service plan, DET notified UI by forwarding a copy of the service plan by the end of the third week after the claimant's orientation. DET notified the UI case manager of any changes to the service plan, either verbally or by providing an updated copy. The UI case manager maintained case notes recording DET and UI activities.

The UI case manager reviewed profiled claimants' weekly pay authorizations, and gathered information on expected, completed, or not-completed activities which were available through the Profiling MIS Profile Master File. DET staff were also responsible for notifying UI case managers regarding non-compliance. In conjunction with the DET case manager, UI case managers were responsible for resolving non-compliance issues.

POTENTIALLY EFFECTIVE PRACTICES

Consolidation of state divisions responsible for UI, ES and EDWAA was a fortunate progenitor of a coherent WPRS system. Access to data from each partner promoted early identification of claimants likely to exhaust benefits. Having one division responsible for administration of employment and training programs provided more seamless services to claimants.

Referrals of profiled claimants was made easier because of collocation of local UI and DET offices. Moreover, local office staff already worked together through a well developed ERP program to identify those who might need extra help in becoming reemployed and to provide them services.

Delaware utilized available technical assistance effectively to develop its profiling MIS. That system took advantage of existing data systems to incorporate information from a variety of sources to be used in both profiling and tracking claimants in the WPRS system.

PROFILE OF THE WPRS SYSTEM IN FLORIDA

BACKGROUND

Prior to implementation of its WPRS system, Florida had some experience in developing and implementing programs to direct services, primarily training, to UI claimants who were dislocated workers. Most importantly, Florida developed and implemented the Training Candidate Program (TCP), a program which used characteristic screens (with last employer at least 18 months; on permanent layoff) to identify claimants who were likely to be eligible for EDWAA. Under this program, participating JTPA Service Delivery Areas (not all SDAs were involved) could, electronically, access lists with eligible claimants' names and send letters to claimants inviting them to an EDWAA orientation. SDAs used this system when resources for services were available. Another predecessor program, the Training Investment Program (TIP), offered extended UI benefits for six months to dislocated workers participating in training. These benefits, which were provided from UI trust fund dollars, were offered on a first-come, first-serve basis each year. They were in the third year of a three-year pilot of the program.

Florida's main interest in applying for a WPRS grant was not specifically to build on these prior programs, but Florida's experience with these programs provided experience in coordination among agencies and in using the state's mainframe to support coordination. This experience also pointed up some of the difficulties in coordination, for example, the fact that each agency had differing dislocated worker definitions.

PARTNERSHIPS AND COORDINATION

Florida's proposal to be a prototype WPRS state was developed at the state-level by representatives of the state's UI program, the Division of Unemployment Compensation; the state's Job Service (JS) program, the Division of Labor, Employment, and Training; and the state's JTPA program, the State Bureau of Job Training, all of which are part of the Florida Department of Labor and Employment Security. However, the two main players in developing the proposal and program were the UI and JS representatives. The JTPA representative played a smaller role once it was determined that the money for services would be channeled to the Job Service as the primary service provider.

Once the WPRS program was operational, program oversight and the profiling and notification function were conducted at the state level and local offices provided services and monitor participation. Under a recent change (July 1994), all local UI and Job Service offices were merged into Jobs and Benefits offices in which staff from both programs were cross-trained to operate both programs. Staff from these Jobs and Benefits offices provided reemployment services to profiled and referred claimants and adjudication specialists in the offices handled any UI issues which arise. These Jobs and Benefits offices were organized by substate region. The local offices and regions had considerable flexibility in deciding how WPRS coordination and service provision would occur.

At the beginning of the WPRS program the state's 25 SDAs were minimally involved, but there was increasing coordination with the SDAs. Referrals were made to the EDWAA program and in many local offices a representative of the SDA made a presentation about EDWAA services during the profiling orientation. In one local area, the SDA was the main service provider. Overall, however, the EDWAA funds that could be used to provide services for profiled claimants were quite limited because of the state's decision to channel a substantial portion of EDWAA funds to the state's community college system. Hence training for profiled claimants was limited.

Profiling and Selecting Claimants

Florida used a two-step profiling model with screens in the first step to remove job-attached claimants and the assignment of a predicted probability of exhaustion in the second step. In the first step, all claimants who received a first payment in the prior week were processed to exclude claimants who:

- Were missing necessary profiling data.
- Were interstate claimants.
- Were transitional claimants.
- Had a definite recall date, are seasonal workers, or use a union hiring hall.
- Had earnings in the first week they were paid benefits (job attached).
- Had a first payment more than 42 days after their initial claim.
- Lived more than 21 miles from an office that offered WPRS services.

In the second step, the state computer calculated a benefit exhaustion probability based on a version of the national statistical model reestimated with Florida claimant

data. The model included variables to control for job tenure (categorical indicators), education (categorical indicators), industry (binary indicators based on SIC codes), occupation (binary indicators based on DOT codes), and the local SDA total unemployment rate (continuous variable). The unemployment rate data were provided by LMI. All the other data came from the UI claim form.

Profiling was done on the state mainframe every Thursday night and on Friday morning claimants were sent notices to report for orientation two weeks later. Letters were sent to the fifteen claimants in each local office with the highest exhaustion probabilities with the claimants drawn from among the set of newly profiled claimants and claimants not referred in the prior week. Local offices had the option to serve more than fifteen claimants and the offices could make this change directly on the mainframe. However, the local offices did not appear to realize that they could make this change.

Providing Services to Claimants

Profiled claimants attended a mandatory group orientation session which included a presentation of available Job Service services and, in most offices, a presentation of JTPA/EDWAA services provided by a JTPA representative. Participation requirements were also discussed.

The orientation session was followed by a one-on-one assessment session that, in most offices, occurred the same day. If not, it occurred the following day. During the assessment session, an individual service plan was created for the claimant. The services on the service plan then became mandatory for the claimant. Services that could be included on the service plan were:

- Job placement.
- Job search workshop. (Workshops must be at least 6 hours long and include labor market information, application/resume writing, interviewing techniques, and how to locate a job opening.)
- Testing.
- Counseling.
- Provision of labor market information.
- Resume assistance.
- Referral to EDWAA.

This assessment-based service design was chosen so that services would be customized. However, based on our visits to local offices, it appeared that the variation in service plans was across offices rather than among claimants within an office. That is, some offices appeared to assign virtually everyone to a job search workshop while others did the orientation and assessment and recorded services provided during assessment (for example, an EDWAA referral), but did not plan for any future services.

Obtaining Feedback on Claimant Participation

Feedback from the service providers to the UI system was accomplished electronically through the mainframe computer. Reporting on participation in mandatory services was done on the ODDS system.[1] Responsibility for ensuring that data got into the system is up to the local offices, but most offices chose to have a specialist that maintained most of the tracking information.

The data on participation was used to determine if the UI claim should be paid or if a nonmonetary determination should be done. This process occurred as follows:

- When claimants were sent a notification letter, a flag was placed on their UI file and the UI claim for that person was converted to single-bypass. (Single-bypass meant that claim cards for profiled claimants were submitted to the local office rather than sent to the state office, as was usually done in Florida. However, payments were still made by the state.) The local office reviewed the claim history and the job service screen to assess the profiling status. The switch to single-bypass for claimants was used because the profiled claimants were exempted from work search contacts during the period of service receipt, but the state system used to monitor work search contacts for double-bypass (claim cards sent to the state office and the state office made the payment) was not flexible enough to allow for exemption from work search contacts. The monitoring system would have rejected all claimants. The single-bypass gave the local offices the ability to deal with this issue.
- Claimants could be exempted from all services if they had a return to work date, they were participating in training approved by the agency, they had completed similar services in the previous twelve months, or they resided 21 miles from the local office. Once claimants were exempted, the system removed the payment flag from their claim. The

[1] JS and UI did not receive feedback from the SDAs about training activities. They only had a record from JS system of the referral of training (if there was one).

payment flag was also removed once claimants were recorded as having completed their service plan.

- Those claimants for whom the flag remained on the claim showed up on a reject list, which was received by the local UI adjudicators. For each claimant on the list, the adjudicators decided, based on their reading of the comments and entries on the JS system, whether they should override the payment flag and authorize payment. This was a problem early in the system because comments on the JS screen were missing so often, so UI staff had to call claimants who were rescheduled to find out the reason.
- No-shows' benefits were suspended for the week they missed services, and when they came in for fact finding, they were rescheduled for a new orientation. If they had an acceptable reason for missing the service, they were authorized UI benefits for that week. Few excuses were denied, unless the excuse presented a regular "able and available" issue for UI. The state policy defined an acceptable excuse as depending on "what a reasonable person would be expected to do." Payments were also generally authorized for claimants who called to reschedule prior to the orientation. When benefits were denied for UI claimants in Florida, they did not lose any of their total UI entitlement—denial simply suspended payment.

They had significant problems with these procedures in the early days of the WPRS system because the system did not read participation outcomes accurately and make the proper response. Some local offices also complained that the single-bypass system in profiling generated too much paperwork; some did not like to handle the paper clients.

POTENTIALLY EFFECTIVE PRACTICES

The use of small groups for the orientation in one of the local sites appeared to contribute to the ability of the orientation leader to maintain the interest of the claimants and make them feel that the service was a useful one.

The WPRS coordination in one of the local sites effectively built on past experience and materials from participating in the local rapid response efforts to develop the WPRS orientation. He was able, therefore, to develop a very useful orientation.

The collocation of an SDA representative in the Jobs and Benefits office in one of the local areas helped participants in their efforts to contact EDWAA for services. The SDA staff indicated that there was a steady stream of EDWAA applicants and the

number of clients served by EDWAA appeared to have increased significantly as a result of the WPRS system.

PROFILE OF THE WPRS SYSTEM IN KENTUCKY

BACKGROUND

With the implementation of the WPRS system, Kentucky continued to build on its efforts to move toward "one-stop" mode of service. This trend was evident in the consolidation of employment service delivery, and in the level of integration of local office staff responsibilities. The functions of local UI and ES staff were being consolidated to a large extent; for example, UI staff typically performed the ES function of registering UI claimants for work immediately after accepting a benefit claim. In addition to providing employment services to UI claimants and veterans, the Employment Service was also the provider of services for JOBS and the Food Stamp E&T programs. Many local ES offices were administrative entities of EDWAA programs as well.

PARTNERSHIPS AND COORDINATION

Kentucky's WPRS implementation team was made up of staff representing both the Cabinet for Human Resources and the Workforce Development Cabinet. The Cabinet for Human Resources was home to the Department of Employment Services, which was made up of (1) the Division of Unemployment Insurance, (2) the Division for Field Services (ES and some EDWAA functions), and (3) the Division of Administration and Financial Management, which included the Research and Statistics Branch and its Labor Market Information section. The Workforce Development Cabinet houses, among other programs, JTPA Titles II-A and II-C programs, and most EDWAA programs. Also on the implementation team were staff from the Center for Business and Economic Research (CBER) at the University of Kentucky, who were responsible for the development of the profiling model, and related selection and tracking systems.

Kentucky used a modular system to plan the development and implementation of its WPRS system that served them well in reaching operational status on schedule. Tasks were defined in relatively discrete terms so that designated staff in different state departments and elsewhere could work on eight separate areas simultaneously: mainframe data bases, PC databases, model development, "score" claimants, selection and referral of claimants, group coding, tracking system, and analytical system.

The state implementation team solicited input from some of the local offices early in the planning stage. Immediately after the start-up of the WPRS system, the state implementation team solicited comments and recommendations from most of the local offices.

WPRS systems operated on the local level mainly within the UI/ES system. Many local ES offices were also designated EDWAA substate areas, and operated as "Employment and Training" (E&T) offices. Local UI offices were collocated with E&T offices, and operated under a joint manager. All reemployment services were provided by local E&T or ES offices.

PROFILING AND SELECTING CLAIMANTS

Kentucky used a truncated tobit model to predict the proportion of their benefits claimants were likely to draw. Data for some of the state's fifteen Area Development Districts (ADDs) were consolidated to represent eight economically distinct "super-ADDs." Separate models were estimated for each super-ADD.

Data for the model included UI initial claim and wage records, ES MIS data, and state labor market information data (such as ES202 data). Independent variables that represented a number of determinants of potential duration were included:

- **Monetary** variables, such as annual wage, benefit amount, etc.
- **Economic** variables, such as whether or not worker was economically disadvantaged, whether or not worker was on public assistance, etc.
- **Education** variables, such as did worker have an associate degree, completed vocational training, etc.
- **Industry** variables - whether or not individual was employed in one of the following industries: agriculture; mining; construction; manufacturing; transportation; wholesale trade; retail trade; financial, insurance and real estate; public sector.
- **Occupation** variables - whether or not individual was employed in one of the following occupations: professional, managerial or technical occupations; clerical and sales; services; agriculture; processing; machine trades; bench work; structural work.
- **Change in employment** industries and occupations, by county, weighted by interstate commuting patterns.
- **Characteristics of job** variables, including tenure, experience, reason for separation, etc.

- **Prior spells of UI recipiency**, including whether or not previously unemployed, whether or not exhausted UI benefits, etc.

To utilize all the available explanatory power of some data items, independent variables of higher order terms were included as well.

CBER was responsible for "scoring" (calculating predicted values) for claimants weekly, and for selecting claimants based on their score and on the predetermined level of local office capacity. It provided the state with electronic files, by local office, that included claimants' names and other identifying information. Kentucky used these files to generate letters of notification to profiled claimants who were selected for referral to reemployment services.

Providing Services to Claimants

All profiled and referred claimants were required to attend an **orientation**, which was intended to be virtually identical across all local offices. Each local office held a weekly orientation, at which it showed the state's professionally produced video that explained the purpose of the WPRS system and claimants' obligation to participate, and mentioned some reemployment services that were available. Local UI and ES staff operated under one manager; staff dedicated to profiling purposes, especially orientation responsibilities, varied by office.

Also at the orientation, claimants were asked to complete two assessment forms: a job seeking skills assessment and a profiling prescreening questionnaire. These helped local office staff to identify claimants who were (1) job ready, (2) in need of educational or occupational training, or (3) in need of further reemployment services.

All participants were referred to an employment specialist (either ES or EDWAA staff, depending on local office designation) for an **assessment interview**, which could take place immediately after the orientation. During the assessment interview, staff reviewed the job seeking skills assessment and profiling prescreening questionnaire, and discussed with the claimant his/her skills and any available job openings. It was also at this meeting that the employment specialist and claimant developed a service plan. Many times, referrals to available jobs were made at the same meeting.

Other services available to claimants included:

- Counseling. This service was generally provided by EDWAA staff, who received special training by the state.

- Further assessment, such as educational testing, interest inventories, proficiency or occupational-specific assessments, etc.
- Job search workshop. This component varied by local office, in length, content, and availability to volunteers (some offices had distinct workshops for different groups of clients). Information that might be included in workshops: resume development, job search strategies, labor market information, etc.
- Professional Placement Network, the national job bank data base system.
- Self-directed job search. Participants were asked to return after making three employer contacts within one week, to discuss what happened, what was said, and what the outcome was.

Referral to education and training were available, mainly through local adult basic education providers or EDWAA. However, Kentucky's current level of EDWAA funds available for occupational training were limited.

Profiled and referred claimants were required to participate in services provided under the WPRS system until all services on their service plan were completed.

Obtaining Feedback on Claimant Participation

The PC-based profiling tracking system, developed by CBER, was used to track profiled and referred claimants' participation in reemployment activities. Files that identified each week's list of profiled and referred claimants were created by CBER after it scores profiled claimants and selected those for referral. These data files were loaded onto local office data bases. At the same time, the state office generated letters of notification to selected claimants requiring participation in orientation.

In each office, on a daily basis, the tracking system generated activities forms for each participant scheduled for activities that day. This form was used to record compliance as well as for recording planned and completed services. If an individual failed to attend an initial orientation, ES or UI staff (depending on local arrangements) rescheduled that person for another orientation and the UI claims investigator could initiate a fact-finding interview to determine the reason for non-compliance. The activities form was used to record information about whether or not claimants participated in initial orientation, and any rescheduled dates for that activity. Data were then entered into the PC-based tracking system. Initial "no-shows" generally did not result in non-payment of benefits.

Reemployment services were also recorded on the activities form. Once a profiled and referred claimant completed orientation, he or she met with an employment specialist (E&T or EDWAA staff) to determine an appropriate service plan. Planned activities and scheduled dates were recorded on the activities form, which was then subsequently used to enter that information into the tracking system.

POTENTIALLY EFFECTIVE PRACTICES

Kentucky developed a well-thought-out, modularized strategy to develop its WPRS system. Tasks were laid out so that concurrent development of different parts of the program resulted in minimizing the amount of time necessary to get it up and running. For example, one team was responsible for the development of the model, another for the development of reemployment service delivery policies.

The WPRS implementation team took advantage of the experience of staff involved in the policy and operation of different programs, in order to anticipate the effect of proposed strategies on each program. It also allowed planners to clarify the meaning of similar terms across programs and develop a terminology all players would understand. The team also solicited input from local office staff, both in the development of the initial strategy and in identifying problems in implementation.

The existing collocation of UI and E&T operations and the on-going cross-training of staff facilitated the flow of information on the local level.

PROFILE OF THE WPRS SYSTEM IN MARYLAND

BACKGROUND

Two major factors contributed to Maryland's desire to have a profiling system. First, the Job Service and the Employment and Training office, which oversaw the JTPA/EDWAA program, had a long-standing interest in serving dislocated workers earlier and in increasing the number of individuals receiving services. There was a trend toward greater coordination between Job Service and JTPA/EDWAA in providing joint reemployment services prior to the profiling system. The Fast Track Program, which went back to the 1980s, referred selected claimants from UI to a caseworker to help them get the appropriate services and organize their job search. Establishing a WPRS system was viewed as a way to extend this effort. Second, Maryland saw the discussion of one-stop and service integration at the national level and evaluated the implications for their service structure. They felt that establishing a WPRS system would strengthen the links between agencies and help them avoid competition between agencies in new service systems, which might jeopardize their ability to deliver services. In addition, since Job Service registration was not mandatory and they did not collect all the data elements that would be necessary for profiling, they wanted to put the necessary elements in place prior to a federal mandate.

To initiate development of a system for greater coordination, Maryland implemented a system of discrete characteristic screens prior to the federal mandate to develop WPRS systems. They outlined the structure in November 1993 and began operations in February 1994. The limitations of the characteristics screens approach were seen right away. They received complaints from the field—not about the characteristics of profiled claimants, but because the size of eligible population to be served varied so much over time and across offices. This led to the idea of ranking claimants in some way. This was attractive because it could be used to target scarce resources to the most appropriate claimants. As a result of this experience, Maryland began working with the U.S. Department of Labor in March 1994 to develop and test a profiling model which they used in their WPRS system (see further below).

PARTNERSHIPS AND COORDINATION

Maryland's WPRS system, which was called the Profiling and Early Intervention system, was operated by the Department of Employment and Economic Development (DEED) which included UI, the Job Service, and the Employment and Training office, which oversaw the JTPA/EDWAA programs for the state. At the state level, the Assistant Secretary for Employment and Training oversaw the WPRS program. Profiling was also done at the state level using data collected on the UI application and the Job Service registration. At the local level, the Job Service played the central service delivery and coordination role—notifying claimants to report for service, conducting the job-search workshop (the main service), contacting and rescheduling claimants who failed to attend, following up on claimants after the workshop was finished, and reporting noncompliance to UI. The Job Service was chosen for this role because they were used to dealing with large quantities of people and because they had experience with mandatory reporting requirements in the pre-profiling system. UI was then responsible for fact-finding and adjudication for claimants who did not attend the workshop. Finally, EDWAA, through the local SDAs, provided staff who made a presentation on training in the workshop. Claimants who were interested in training were referred to EDWAA and provided training if appropriate.

Although the job search workshop provided to profiling and referred claimants was conducted by the Job Service, funds to support the workshop were provided from the EDWAA state reserve. This decision was proposed by the Assistant Secretary for Employment and Training and approved by the Governor's Workforce Investment Board. Initially Job Service was reluctant to conduct the workshops because of resource constraints, but this decision removed that constraint. In addition, since EDWAA funding for the state increased substantially between PY1993 and PY1994, allocations to the local SDAs for EDWAA were essentially not affected by this decision. Without the increase in funding it would have been very difficult for the state to develop and implement the WPRS system.

Another factor which was important in contributing to the state's ability to develop the system and gain the cooperation of all necessary agencies was the fact that the system was designed and implemented by the Assistant Secretary's office rather than by one of the program offices. No cooperative agreements between agencies were necessary, because all of the program agencies affected by WPRS were under the same Employment and Training Division. The Assistant Secretary for Employment and Training in DEED played a very active role in defining the funding sources and the

substantive roles that each of the agencies would play in the new system. In addition, the staff member in the office assigned responsibility for implementing the program was a strong leader in the effort. In fact, a number of state administrators attributed Maryland's ability to formulate a WPRS system to the efforts of this individual. This staff member played a central role in designing the system to fit the existing labor services system in Maryland with a minimum of disruption. This staff member was also able to be effective in coordinating the efforts of the different agencies that were affected by WPRS.

PROFILING AND SELECTING CLAIMANTS

Profiling in Maryland was a two-step process that occured weekly for all claimants who were sent a first payment in the given week. In the first step of the profiling procedure, the program excluded those claimants who:

- Were interstate claimants.
- Had a recall date.
- Were attached to a union hiring hall.
- Were on temporary layoff or are specifically subject to recall.
- Had been selected for the Maryland Work Search Demonstration, which is an eight-site demonstration of alternative work search requirements.

The claimants who passed these screens were then evaluated using the statistical model of benefit exhaustion. This model assigned predicted exhaustion probabilities to each claimant based on their characteristics. The model included variables to control for education, tenure, previous industry, and previous occupation of claimants. The education and occupation variables were a set of binary indicators. The tenure variable was treated as a continuous variable. The industry variable was the local (SDA) rate of employment growth for the industry of previous employment. They would have liked to use a similar approach for occupation, but they did not have reliable data. The model also included a variable to control for local (SDA) unemployment rates.

Of the variables in the profiling regression model, education appeared to be the most important (according to the state)—those with less than a high school education are, in most cases, referred to services. Long tenure was also an important factor in the model.

With the exception of the unemployment rate, data needed for profiling came primarily from the UI and Job Service data systems. When claimants with first

payments in a given week were drawn from the UI files, their records were matched with the Job Service database to collect the Job Service data elements (occupational code and education) needed for profiling. Early on Job Service data were missing for many claimants, so they required Job Service to register all unattached claimants. Some offices did not have resources to do this, so they were required to collect occupation and education data on the initial UI claim. The data on unemployment rates came from Bureau of Labor Statistics publications.

Profiling was conducted by the state on the state mainframe. The profiling program, which was run weekly, generated a list of claimants for each office ranked by probability of exhaustion. A hard copy of the list was sent to each office along with mailing labels for the 30 claimants on the list with the highest probabilities. Local offices then matched participants to capacity by choosing the desired number of claimants from the profile list to call-in. Letters to the claimants were then sent notifying them to attend a job search workshop two weeks after the letter was sent. The state chose not to send out the letter themselves because changes in meeting dates and times would require reprogramming. The chosen approach also let the workshop leader manage the call-in process.

The list of ranked claimants was convenient for local offices because it gave the offices a systematic way to commit limited resources to claimants. Offices were free to serve whatever number they chose, but they had to work down from the top of the list. However, the offices were required to track the top 30 claimants on the list, even if these claimants were not invited to the workshop. For those claimants not served, this simply meant that they were coded as not having attended the workshop because they were not invited.

Providing Services to Claimants

Reemployment services in Maryland consisted primarily of a mandatory job search workshop. This workshop needed to be at least ten hours (actual times range from ten to twenty hours) and must cover five core topics:

- **Job search preparation.** Skills assessment and establishing job goals; why interviews were conducted and how to handle them; the difference rapport made and how to use it.
- **Job search plans.** Time management; targeting potential employers; making direct contacts a success; making successful telephone contacts; networking for hidden jobs; managing follow-up activities.

- **Job search tools.** How to develop and write resumes, letters (broadcast, cover, and follow-up), how to handle employment applications.
- **Job search resources.** Accessing the resources of the Maryland Job Service, including how to use ALEX; labor market information; community resources.
- **EDWAA and community resources.** Information on training; opportunities to meet EDWAA requirements; availability of training; when and how to choose training.

There were two absolute requirements with respect to the content of the workshop: (1) it had to include teaching claimants how to use ALEX, and (2) it had to involve the SDA in the curriculum in some way. The state considered the ideal workshop size to be twenty claimants. However, flexibility allowed some local offices to conduct substantially larger workshops.

Maryland required claimants to attend 80 percent of the workshop in order to be counted as having completed the workshop. The local visits, however, suggested that this rule appeared not to be applied in all local offices.

Local offices needed to also provide claimants with at least one week advance notice of the appointment for the workshop. In most offices, workshops were scheduled every two weeks. This schedule was intended to provide workshops during the fourth or fifth week of the claim if the first payment was issued promptly after the initial claim. The local visits suggested that service delivery might not be occurring this quickly in all offices.

An important part of the workshops was an introduction to EDWAA training opportunities and potential referral to EDWAA training. The presentation was typically made by an EDWAA representative as part of the regular workshop (although this was not required). Those claimants who were interested in EDWAA training could have a follow-on interview with an EDWAA staff member, at which point they could apply for EDWAA training if it was appropriate. This interview and application usually occured at the SDA office and depended on the individuals approaching EDWAA on their own.

Profiled claimants were eligible for EDWAA training if their predicted probability of exhausting UI was greater than 40 percent. Nearly all claimants who participated in WPRS fulfilled this criterion. Some local offices shared their list of profiled claimants with the local SDA, which recruited claimants who were above the 40 percent cutoff about EDWAA services, even if they were not called in for the workshop. It was

estimated that less than 50 percent of WPRS participants actually enrolled in EDWAA training. The EDWAA representative estimated that training participation would probably increase from 4,000 in PY1993 to 8,000 in PY1994 due to referrals and availability of greater information about EDWAA from profiling. This 4,000 person increase represented about 40 percent of the 10,000 profiled claimants that were expected in PY1994.

Feedback about the workshops from local office managers and from claimants was positive. Managers felt that the workshops were a useful service and gave them an extra method for informing claimants about services. Claimants were sometimes reluctant to participate in workshops, but found them useful after having participated. EDWAA administrators also pointed out the profiling improved communications between local agencies and induced them to coordinate earlier in claimants' UI spells. This positive response was significant, since EDWAA money was used to fund WPRS services.

Finally, in addition to the workshop, Maryland required claimants to make at least one follow-up contact with the local service system within 90 days of the end of their workshop. The nature of this contact varied, according to the office and the claimant's needs and preferences, but the claimant had to report in person for the contact or for some service. One service that local offices were providing to claimants as a potential follow-up service was a series of mini-workshops on particular topics, such as resume writing. The state encouraged the use of these workshops by helping local offices train staff, rent space, buy workbooks, etc. The local offices also offered to all claimants (not just profiled claimants) the use of a resource center, which was often designed with profiled claimants in mind. Use of any particular service by profiled claimants was not required.

Obtaining Feedback on Claimant Participation

Maryland Job Service system was modified to track information on which claimants were called in to the workshop and which claimants reported. The system also kept track of services provided to claimants using standard Job Service reporting procedures. The workshop leaders were typically assigned the responsibility of maintaining the tracking data on claimants. Maryland was also working to set up a process for the Job Service and JTPA systems to share data, but they were uncertain of requirements for this. Eventually, they hoped local offices would be able to look directly at EDWAA files. In some local offices, the lists of profiled claimants were being shared with the SDAs so they could recruit from the list.

Although data on participation in the workshop were entered in the Job Service system, this system was not used to report noncompliance to UI. An existing manual system was used instead. Under this system the workshop leader filled out a form listing claimants who failed to attend the workshop. This form was given to UI staff for a fact-finding interview. UI and Job Service were collocated in Maryland.

POTENTIALLY EFFECTIVE PRACTICES

In one of the local sites, the size of the WPRS workshops were kept relatively small (less than twenty participants). The small size facilitated the creation of a friendly atmosphere in the workshop which encouraged discussions between the participants and the workshop leader. The small size also allowed the workshop leader to remember people's names and to learn a considerable amount of information about each individual which contributed to participants feeling that the leader was responsive to their needs.

In one of the local sites, one staff person was responsible for most of the WPRS activities. This was useful in the sense that this person was extremely knowledgeable about all aspects of the system. However, this practice would be more effective if there was a second person who would serve as a back-up.

PROFILE OF THE WPRS SYSTEM IN NEW JERSEY

BACKGROUND

New Jersey was fortunate to have two programs over the past decade that required inter-program collaboration. Because different program staff worked together on these programs, the implementation of profiling may have been somewhat easier for New Jersey than for other states. In 1986-87, New Jersey collected data for the first program—the UI Reemployment Demonstration Project (UIRDP)—which was conducted for the U.S. Department of Labor. Like profiling, UIRDP required the linkage of UI and ES in order to identify claimants most in need of reemployment services and to provide those claimants with services. UIRDP was the impetus for profiling; the goal of both is to see if it is possible to reduce the length of claimants' unemployment spells through profiling and referral to mandatory reemployment services. The major finding from UIRDP was that early intervention and the job search workshop were effective in speeding UI claimants' return to work.

In 1992, New Jersey established the Workforce Development Program (WDP), which was the other program to establish inter-program cooperation. WDP was financed by levying a tax equal to the amount of a reduction of UI payroll taxes paid by employers and employees. Through WDP, ES staff interacted with the dislocated worker population who file UI claims. WDP-designated ES counselors helped these workers design an employment development plan and considered whether these workers only needed reemployability services or whether they should be directed to job training provided through JTPA or WDP funds. WDP strengthened the linkage between UI and ES, which had waned after the end of UIRDP, and brought JTPA administrators into a contractual relationship with ES/UI. WDP provided substantial counseling and training resources for profiled and referred dislocated workers.

PARTNERSHIPS AND COORDINATION

From the development of the WPRS proposal through the implementation of the system, the state key players were staff from UI and ES, with a great deal of input provided by JTPA staff. There was a natural coalition building from their previous experience with WDP and also because UI and ES received funding through JTPA for the WPRS system to increase the capacity to provide reemployment services. UI, ES, JTPA, and the state-developed WDP program were all part of the New Jersey

Department of Labor. At the local office level, New Jersey began implementing combined service offices—one manager oversaw operations for both UI and ES. In addition, managers of local ES offices served on the private industry council in their area. Finally, WDP was an important factor in developing the working relationships among UI, ES, and JTPA.

An unanticipated form of coordination was required at the local office level. Because the implementation of the WPRS initiative required that ES offices must somehow accommodate a large population, some office managers had to develop options for providing services in locations other than their local offices, which lacked a sufficient number of large rooms to provide services to groups. These office managers and state staff worked with any agency to procure the use of alternative office.

Profiling and Selecting Claimants

Before profiling could begin, changes to the basic UI application form had to be made in order to collect the data needed for the statistical model. A question was added to more finely determine the recall status (i.e., definite date of recall, indefinite date of recall, no date of recall). In addition, claimants were asked to provide information for the last three employers, including the tenure at each, instead of just for the last employer. The additional work history was requested to ensure that information about the "usual job" was coded instead of a "stop-gap" job.

Before creating a profiling score, the following types of UI claimants were screened out of the profiling process:

- Interstate claimants.
- Claimants attached to a union hiring hall.
- Claimants who received a partial payment or did not have a payment in the first five weeks.
- Claimants who had a definite date of recall.
- Claimants who were seasonal workers or worked in industries where they were likely to be recalled.

The remaining UI claimants were then scored using a logistic regression model. The model predicted the likelihood of UI benefit exhaustion given the following:

Data Used	Source of Data
Education level	UI database
Job tenure	UI database
UI weekly benefit amount	UI database
Base year earnings	UI database
Indefinite recall status	UI database
Percent change in industry	LMI data
Local area unemployment rate	LMI data

After the state ran the statistical model that created a probability score for the likelihood of exhausting benefits for each UI claimant, the local UI offices were responsible for entering the date of orientation into the computer system. Scheduling for orientation was generally done on Mondays; profiled claimants were required to attend an orientation the following week. Using the data entered by local UI staff, state staff printed and mailed out the notification letters to profiled claimants.

If claimants were profiled but not referred to services, they remained in the selection pool for up to five weeks after their initial claim. However, it was unlikely that profiled claimants in the selection pool would be referred to services in a subsequent week. Because these profiled claimants had a relatively low ranking, they were unlikely to be ranked any higher when newly profiled claimants were scored and ranked in the subsequent weeks.

Providing Services to Claimants

The first service for all profiled and referred claimants was the group orientation session. During the orientation, profiled claimants were informed of the mandatory nature of services, the reasons for and importance of profiling, and the benefits, services, and possible training available to profiled claimants. In addition, they received a brief explanation of current labor market conditions and an overview of resource materials available for their use. Profiled claimants completed a brief questionnaire which was used to determine if any claimants were improperly referred, had already received similar services, or had any barriers to further participation in reemployment services. For those claimants who were not excused based on their

responses to the questionnaire, a preliminary service plan (PSP) was developed. The PSP identified one of three service tracks to which the profiled claimant would be referred: (1) to direct placement services if the claimant has demand skills, (2) to job search assistance if the claimant had marketable skills, and (3) to further counseling and assessment and possible training if the claimant had obsolete skills.

New Jersey was committed to providing appropriate services for claimants, which meant that services were individualized. However, the majority of profiled and referred claimants were referred for job search assistance and were required to complete the following services following orientation:

- **Job search workshop**. This 12-hour group workshop was conducted using state-developed materials, supplemented with materials provided by the local ES staff person conducting the training. The focus of the first half of the workshop was on dealing with the trauma of being unemployed—stress management, self-image, and developing a career goal. The focus of the second half of the workshop was on how to do a job search—resume preparation, interviewing, networking, and more labor market information.
- **Assessment and development of an individualized service plan (ISP)**. In addition to assessment activities conducted during the orientation and in the preparation of the Preliminary Service Plan, further assessment was conducted during the job search workshop. The ISP was also developed as a part of the job search workshop. As part of the ISP, each claimant's employment goal was identified, as well as any remedial education or occupational training needed to obtain that goal.
- **Job club**. In the job search workshop, claimants learned job search techniques; in the job club, they talked about whether those techniques were working for them and what they needed to do differently to conduct a successful job search. Job club participants met regularly, made use of telephone banks and other equipment available to them, used labor market information resources, and shared job-seeking experiences with other job club participants. In addition to the job club meetings, claimants were required to conduct and document an active employment search and report periodically as scheduled by ES staff.

Profiled and referred claimants were provided with ongoing case management services. In addition, multi-access resource centers housed resources to assist claimants in self-directed job search. Each center provided space for participants to review job listings from ES and newspapers, as well as other job search materials, such as industrial directories and occupational literature. In addition, centers were stocked

with a large array of equipment, such as telephones, fax machines, personal computers and printers for the preparation of resumes and letters, and computer access Automated Labor Exchange and Career Information Delivery System. Other services that were provided as claimants needed them were testing (e.g., BOLT, GATB, clerical tests, aptitude test battery), individual counseling sessions, job referral and placement services, and referral to job training. Because New Jersey ES staff found the job search workshop to be a beneficial service, their customers were often referred to the job search workshop first, before claimants were referred to training.

Several years ago, ES staff in the New Brunswick local office developed a unique variation on the job club: the professional service group (PSG). Since the development of the PSG, several other local offices added that service option. The PSG was much like the job club in that the purpose was to ensure that the claimant was conducting an effective job search. However, the main difference between the two services was that the job club was managed and run by ES staff while the PSG was self-managed by the participants with minimal involvement of ES staff. PSG members contacted local employers to develop job openings and promote ES as a recruitment source; job leads developed by PSGs were entered into the state job bank. Because of the cooperative and voluntary nature of the PSG, it was decided that the PSG would not be a mandatory service for profiled and referred claimants; those claimants who participated in a PSG were required to conduct a self-directed work search in compliance with their work search requirements.

Obtaining Feedback on Claimant Participation

New Jersey used three computer systems to track profiled and referred claimants and to provide feedback between agencies. Entry of data for profiled claimants was done in the appropriate database (e.g., services completed are entered in the ES database, non-attendance at a required service in the UI database, and scheduling of claimants for orientation in the state-developed database). When state staff developed a computer system for WDP, that system was designed with "room for growth." Therefore, they were able to adapt the WDP-MIS system when a system was needed for profiling. Through the WDP-MIS system, UI and ES staff were able to view data about profiled claimants. For example, staff were able to view participant characteristic information that was drawn from both the UI and ES databases.

Responsibility for data entry rested with the staff who were working with the claimant. For example, ES staff entered data into the ES database when services were

completed; ES staff entered data into the UI database to record nonattendance at a required service; and UI staff conducted the scheduling of claimants for orientation using WDP-MIS.

In addition to the computerized databases, there was still the need for paper tracking. For example, mandatory services to be completed were not entered into a database but were tracked through a paper process. Once a profiled claimant completed a mandatory service, that information was entered into the ES database. However, if a profiled and referred claimant failed to report for a mandatory service, that information was entered in the UI database.

UI staff continued to be responsible for conducting determinations. In New Jersey, if a profiled and referred claimant failed to report for a mandatory service and did not come in that day to reschedule, the ES staff entered the no-show into the UI database and also notified UI staff in writing (using forms developed for the profiling process) within 48 hours. In most cases, this resulted in a nonmonetary issue requiring adjudication by an examiner in the local UI office. Issues were adjudicated in accordance with existing procedures.

Potentially Effective Practices

The local offices in one region in New Jersey conducted a test of the provision of mandatory services to selected UI claimants. Because this was a couple of months before the implementation of the profiling system, the computerized profiling and tracking procedures were not all in place at the time of the test. This manual test of the profiling process accomplished three things in New Jersey:

- It allowed them to identify and correct any "kinks" early in the process, when such corrections were easier and negatively impacted fewer customers.
- The local office staff in this region were relieved to learn that UI claimants would not be extraordinarily negative about having mandatory requirements for participation in services placed on them.
- In addition, local office staff were reassured that it would be possible to serve a larger number of claimants than had previously been served and that high quality services could be provided in group settings.

In addition, there was a test of the computerized profiling and scheduling for one day before the profiling process actually began. Like the manual test of service

delivery, this computerized test of profiling and scheduling allowed state staff to make the inevitable minor corrections early in the process.

For many states, professionals were not the usual customers of ES; however, professionals were a growing population to be served. New Jersey staff were able to address the needs of this group through the development and implementation of professional service groups (PSGs). Through PSGs, professionals received services similar to those in a job club, but tailored to their needs as professionals. For example, networking was an important part of the PSG, and professionals in the group were able to make use of the contacts of other group members. In addition, the PSG was an extremely efficient service to provide in terms of ES staff time since the group was self-managed by the group members with minimal oversight by ES staff. Finally, the group members performed job development activities, assisting both themselves and ES.

PROFILE OF THE WPRS SYSTEM IN OREGON

BACKGROUND

When the Worker Profiling and Reemployment Services legislation was passed in 1993, Oregon had already had years of experience addressing the problems faced by dislocated workers. A statewide program created by the 1991 state legislature, the Oregon Dislocated Worker Program, was a particularly important antecedent to the WPRS initiative. Not only did Oregon's legislature commit tremendous financial resources for the development and provision of a service called "Choices and Options" to assist dislocated workers in making the transition to new employment, it also mandated a partnership between the Oregon Employment Department (OED) which includes UI and ES, the JTPA EDWAA program, and the Office of Community Colleges. It also established Workforce Quality Regions within the state and regional Workforce Quality committees, who were responsible for approving and assuring an alignment of all employment and training efforts within their region.

Choices and Options, or its regional manifestations, are basically ten day workshops to help dislocated workers adjust to their recent job lost and to assist them in finding and obtaining new stable and productive employment. Oregon has also been in the midst of a major change in the way the OED does business. Staff responsibilities are changing in order to allow them to spend less time on routine information processing tasks and more time helping people find jobs. Field offices are being remodeled into Job and Career Centers that provide job-finding resources such as the Career Information System (a PC system that allows customers to explore career options in Oregon and match their interests and skills against employers' requirements); personal computers, relevant software and printers; telephone banks; and a Career Resource Center which provides a wide variety of books, videos, articles, and other information about careers, occupations, and job finding techniques.

With the established partnerships and availability of reemployment services such as "Choices and Options," and the Employment Department's new mission to provide better services to customers, Oregon was well positioned to assume prototype status for the WPRS initiative.

PARTNERSHIPS AND COORDINATION

It was to Oregon's advantage that the WPRS initiative came on the coattails of the Oregon Dislocated Worker Program (ODWP). The partners in the ODWP—UI, ES, EDWAA, and the Office of Community Colleges—became the key advocates of the WPRS initiative in the state. At the state level, there were two main groups working to develop different parts of the WPRS system: the profiling model group and the program services group. The Research, Tax, and Analysis Division of the Employment Department and the MIS division of the state JTPA office worked together with program staff from the OED and EDWAA's Dislocated Worker Unit and state economists to develop Oregon's statistical profiling model.

Staff from the OED and the EDWAA Dislocated Worker Unit came together to develop statewide policies and procedures. Through weekly partnership meetings, they learned how each does business and discussed how to set up the WPRS system that would meet the needs of the customers and also the needs of each of the agencies involved. OED staff, other than those identified as WPRS staff, were consulted on various parts of the WPRS system. Because of philosophical differences between OED and JTPA, there was a fair amount of negotiation and compromise before the policies and procedures were finalized.

The state took the lead in developing the statewide policies and procedures but kept the regions informed and invariably solicited their input. State policies left local partners with a substantial degree of discretion in setting local policies and procedures. Local offices were also told that this first year was a pilot year and that throughout the year, they were to evaluate their operations and make improvements, if necessary. The two local sites visited by the research team welcomed the pilot-year designation and had already made changes in the reemployment services required and provided in their respective sites.

PROFILING AND SELECTING CLAIMANTS

All of Oregon's UI claimants filing initial claims are informed about the possibility of being profiled and required to participate in reemployment services. At the time of their initial claim, they are sent a letter that explains the WPRS systems. Along with this letter, claimants are sent information on ES services that are available to help them with their job search.

Claimants are profiled once first payments are made. Oregon has a two-stage identification and profiling process: (1) initial screens, and (2) the statistical model. In the first stage, claimants are exempt from further profiling if they indicated that they expect to be recalled to work by their previous employer or if they are attached to a union hiring hall. Initially, a third screen, job tenure of at least two years with their base year employer, was also a basis for an exemption from the next step in the profiling process. Oregon almost immediately determined that this screen was eliminating too many potential WPRS customers. Oregon suspended use of the job tenure screen but would consider using it again if increases in initial UI claims begin to overwhelm the system. In addition to screens, Oregon also eliminates from the second step in the profiling process those (a) who are separated from their most recent employer for reason other than lack of work (i.e., quit or were fired); (b) those whose initial claim is being filed through the Interstate Unit; and (c) those whose first payment occurs more than 35 days from their initial claim date.

If a claimant passes all of these initial screens, the statistical profiling model is applied to his/her data and a probability of exhaustion (0 to 100 percent) is obtained. Oregon's profiling model includes eight elements.[2] The data elements and the source of the data are listed below:

Data Elements	Source of Data
Highest grade completed	UI/ES claim form
Industry growth/decline	UI wage record & LMI information
Weeks worked in base year	UI wage record
Wage difference (base-UI benefit)	UI wage and benefit records
Resides in Portland Metro Area	UI/ES claim form
Resides in Lane County	UI/ES claim form
Veteran status	UI/ES claim form
Tenure w/base year employer	UI wage record

[2] Oregon's profiling model has been modified substantially since the time of the site visit. Since July 1, 1995, Oregon has been using a profiling model that includes the following data elements: education, job tenure, base year wages, weekly UI benefit amount, local unemployment rates, industry, and occupation.

The state office conducts profiling daily. Claimants receiving a probability of exhaustion of 60 percent or greater are placed on local OED office lists.[4] Since the time of the site visit, Oregon has changed its policies regarding a threshold probability of exhaustion score. A cut-off of 60 is no longer being implemented. Because of improved economic conditions in Oregon, there are fewer claimants for unemployment insurance benefits. Consequently, the use of a threshold score was not providing Oregon with enough profiled claimants to consider for selection and referral. Oregon determined that it was appropriate to change their profiling and selection policies. Local OED offices have access to these lists at any time but are required to review them weekly to select and refer to services. The local partners together determine the capacity they have to serve profiled claimants with reemployment services.

The number of profiled claimants offices decide to refer to orientation are selected off the list; those with the highest ranking selected first. If there are ties, the state has recommended that the local offices give veterans and older workers priority. Those not referred during a given week are incorporated into the list of those profiled in subsequent weeks. Profiled claimants remain on the list no longer than 25 working days from first payment. Those not referred to services within that time are no longer considered for referral. The two local offices visited by the research team had not had the numbers of profiled claimants that they anticipated. They indicated that they were both able to refer all of the profiled and selected claimants to WPRS reemployment services.

The local office decides who to refer to orientation, and the date, time and location of the orientation. The local office sends "invitations" to the profiled and referred claimants to attend the orientation. Local offices may also request that the letters of invitation to claimants be sent by the state central office. Letters are sent out a few days before the date of the orientation. Customers are told that they must call in if they are not able to attend.

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PROVIDING SERVICES TO CLAIMANTS

The statewide mandatory WPRS requirements include an orientation, assessment interview, development of an individual service plan, and any services agreed upon by the claimant and the service provider and written into the plan. The state also recommended that local areas offer their Oregon Dislocated Worker Program's Choices and Options transition workshop as a service option. Local offices were allowed to modify the mandatory requirements. The two local sites visited had.

Orientations are usually held once a week. However, in one of the sites visited, the partners were considering offering them every two weeks because of the small number of profiled and selected claimants. During the visit, the orientation meeting held included six profiled and referred claimants. In the second site, the orientation was held once a week or once every two weeks depending on the availability of a room in which to hold the meeting.

The orientation at these two local sites was a group meeting. Profiled and referred claimants who are not able to attend scheduled group meetings may be offered a choice of a one-on-one meeting. The group orientation in the first site lasted two hours and the one in the second site 30 minutes. The partners in the regions decided on who would conduct the orientation. In the two sites visited, the ODWP "Choices and Options" program greatly influenced who participated in the WPRS orientation. In one site, it was UI, ES, EDWAA, and the community college, while in the other it was ES, EDWAA, and the community college.

The partners also agreed on what was to be covered in the orientation. The information provided in the orientation differed in the two sites visited. In one site, there was substantial information provided on reemployment services available from EDWAA and the community college and information on UI requirements. In the second site, the information focused mainly on the two different reemployment services the claimants could choose from for their next required reemployment service: the ODWP Choices and Options workshop or enhanced enrollment services from ES.

The presentations at the orientation in both sites are followed by a one-on-one assessment interview and the development of the individual service plan. The state developed the Individual Service Plan (ISP) form. The ISP form includes a brief assessment section which asks the customer to indicate his/her occupational interests, educational background/training, occupational skills/aptitudes, job-finding concerns, job targets, and reemployment activities enrolled in or recently completed. It also has

an action plan that the claimant agrees to as additional required reemployment services, with expected completion dates. The ISP form also includes suggested reemployment services that the claimant can access but which are not required and subject to benefit denial.

In both of the local sites visited, a reemployment services was required after the orientation, assessment, and service planning. In one local site we visited, profiled and referred claimants were required to select either the Choices-and-Options workshop provided by a partnership of EDWAA and the community colleges or enhanced enrollment services from the Employment Service. Generally, the less job ready were encouraged to select the EDWAA/community college's workshop and the more job ready to select the ES enhanced enrollment service. Originally, the workshop offered the one being provided for participants in the Oregon Dislocated Worker Program. In other words, WPRS claimants participated alongside ODWP participants. The wait time for entrance into the workshop, therefore, could be a few weeks. The partners in this local area decided to provide a modified workshop for profiled and referred workers only. This would not only shorten the wait time, but would also place the cost of the workshop more in line with the proposed WPRS per participant cost for reemployment services. State dollars supplemented EDWAA WPRS per participant dollars when WPRS claimants attended the ODWP workshop. The modified workshop was designed to be a four day workshop covering most of the content of the two week workshop but in much less detail. The enhanced enrollment service with ES provided the profiled claimant with individualized service with ES resources, more intensive job matching, and job development type services from the WPRS staff.

Initially, in the second local Oregon site, the required services were exactly what the state required. The partners in this local area had decided to offer, as an option only, a modified version of their Choices and Options. This modified version had just been completed at the time of the site visit. EDWAA and the community college staff had modified the original workshop and were planning to offer it in the months ahead. A reason for the decision not to require any more than the state-required services was their desire to have as few requirements as possible and to use the orientation to convince profiled and referred claimants to voluntarily access the services available. However, early on the WPRS partners determined that the claimants were, in fact, not accessing ES services much less services of the other partners. Therefore, they instituted a required one-on-one interview with the ES WPRS-dedicated staff person to

provide claimants with more individualized job search assistance and to assure that all profiled and referred claimants are aware of all the resources available to them through ES.

Obtaining Feedback on Claimant Participation

The WPRS-dedicated staff in the local Employment Department are responsible for tracking claimant participation in required services. The partners in the local areas agree on the feedback procedures within their area. Generally, when OED WPRS staff are part of the service being provided, they simply pick up the attendance sheets or whatever materials are available for the documenting participation. In the two local sites visited, when required services are provided by the partners such as EDWAA and/or the community college partners, they provide OED with written documentation that the claimant is participating and completed the service.

The state has developed a system of codes that tracks a profiled claimant while in the WPRS system. The codes indicate whether a profiled claimant at a given time has been profiled, referred (or is participating in required services), completed required services, or exempted from services. This information is recorded in the claimant's ES file. When a claimant has been referred to a service or is participating in required services, the ES file also includes the information on the next scheduled contact. Therefore, WPRS staff can obtain a list of claimants' names who were to report to required services on a given day and they are then able to assure that they receive information on whether those claimants actually did report and/or complete the service. The next contact date is then recorded in the file. Whenever these dates are changed, the system does not automatically maintain a historical record of dates. It is the responsibility of the WPRS staff person to assure that these participation requirements and successful completions are recorded in the case management section of the claimant's ES file.

Individual files in the ES database have a case management screen in which all of the services and different contacts with the claimant are entered for historical purposes. These include WPRS as well as other ES services. They also include other important information such as justifiable-cause reasons for non-attendance.

Once the profiled claimant has completed the required services, his/her ISP is signed off by the local office and sent to the state office for microfilming. The state

expects to follow up on WPRS participants with regard to employment through the UI wage files for up to four years.

Potentially Effective Practices

The state provided a number of different activities that facilitated the design and implementation of their WPRS system. These state-level activities were always conducted by all of the three partners, OED, JTPA, and the Office of the Community Colleges, or, at the least, OED and JTPA. First, they conducted two early statewide meetings. The first meeting was held before the awards were announced. The purpose was to inform the regions about the WPRS initiative and what would be expected of them. This was an opportunity for local partners to provide input into the system design and policies and procedures. The second statewide meeting was held immediately after the prototype-state award was made. The main purpose of this meeting was to bring the regional partners together and get them started on their local designs and cooperative agreements.

The second activity was conducted by the Research, Tax, and Audit (RTA) unit that was leading the effort to design the profiling model. RTA held regional meetings to obtain input into the design of the profiling model.

The third activity the state provided was a round of local training sessions for implementing the WPRS system. These training sessions focused on the use of the ES and UI databases for tracking claimant participation and providing feedback information necessary for reporting and on the policies and procedures regarding selection for referral and reemployment services.

The state also designated the first year of the WPRS initiative as a pilot program in which the locals were allowed to change their request waivers to improve services to the profiled and referred claimant. The two local sites visited focused on this pilot status and appear to willingly evaluate and modify their policies and procedures to improve their local WPRS system.

Appendix B

Customer Satisfaction Survey

WORKER PROFILING SURVEY

According to unemployment insurance agency records, you filed your initial claim for unemployment insurance (UI) benefits on the date indicated on the label below:

After you filed your initial claim for UI benefits, you were required to participate in a program that would arrange for you to receive services to help you find a new job. The questions that follow refer to this program.

ORIENTATION

1. After you received your first unemployment insurance (UI) payment following your initial claim, did you attend an orientation meeting or workshop that explained the program to you?
(PLEASE CIRCLE ONE NUMBER)

Yes	1		(85.9%)
No	2	☞ *PLEASE SKIP TO QUESTION 3*	(14.1%)

2. After that orientation meeting or workshop, how well did you understand the following?
(PLEASE CIRCLE ONE NUMBER FOR EACH ISSUE)

	After Orientation Meeting or Workshop, I Understood This:				Was This Addressed?	
	Extremely Well	Very Well	Somewhat Well	Not at All Well	Yes	No
a. What I was required to do as a participant in this program.	4 (30.0%)	3 (47.8%)	2 (18.6%)	1 (3.5%)	Y (98.6%)	N (1.4%)
b. What would happen to me if I did not participate in required services.	4 (37.9%)	3 (43.1%)	2 (13.7%)	1 (5.3%)	Y (95.7%)	N (4.3%)
c. What services or training were available in this program.	4 (24.3%)	3 (39.1%)	2 (27.0%)	1 (9.7%)	Y (96.6%)	N (3.4%)
d. How my plan would be developed for all the services I would receive to help me find a new job.	4 (19.1%)	3 (36.6%)	2 (29.3%)	1 (15.0%)	Y (93.7%)	N (6.3%)

SERVICES AND TRAINING RECEIVED

3. Below are some services that **the program** may have provided or referred you to. For each service, please indicate if the program provided or referred you to get that service and, if you got the service, **how helpful** that service was to you.

(PLEASE CIRCLE ONE NUMBER FOR EACH SERVICE)

	Received this service from the program		Yes— If you received this service from the program, how helpful was it to you?			
	Yes	No	Extremely Helpful	Very Helpful	Somewhat Helpful	Not At All Helpful
a. General information about the types of jobs likely to be available in my community.	Y (76.9%)	N (23.1%)	4 (13.5%)	3 (33.1%)	2 (39.9%)	1 (13.5%)
b. Assessment of my skills, work experience, and job interests through tests or interviews.	Y (68.6%)	N (31.4%)	4 (18.4%)	3 (31.3%)	2 (33.7%)	1 (16.6%)
c. Career counseling (for example, help in choosing a new job or career).	Y (59.9%)	N (40.1%)	4 (13.5%)	3 (27.7%)	2 (33.5%)	1 (25.2%)
d. Help in determining what services/ training I needed to get a job in an occupation that was right for me.	Y (63.9%)	N (36.1%)	4 (14.2%)	3 (28.3%)	2 (34.5%)	1 (23.0%)
e. Information about preparing a resume, filling out job applications, and conducting job interviews.	Y (76.9%)	N (23.1%)	4 (29.4%)	3 (32.5%)	2 (26.6%)	1 (11.5%)
f. Information about how to find out about job openings.	Y (86.4%)	N (13.6%)	4 (24.7%)	3 (36.3%)	2 (31.1%)	1 (7.9%)
g. Information about training programs available in this community.	Y (74.4%)	N (25.6%)	4 (20.3%)	3 (28.5%)	2 (34.4%)	1 (16.8%)
h. Assistance in finding a new job (for example, job clubs, job leads, advice when looking for a job, etc.).	Y (73.8%)	N (26.2%)	4 (16.3%)	3 (29.8%)	2 (35.2%)	1 (18.8%)
i. Other services (please specify): _____ _____ _____	Y (7.5%)	N (92.5%)	4 (32.0%)	3 (29.3%)	2 (18.7%)	1 (20.0%)

4. Considering all the services you said you received in the previous question, about how many total hours did you participate in services that the program provided or referred you to?
(PLEASE CIRCLE YOUR BEST ESTIMATE)

0 hours—Did not receive any services	1	☞ *PLEASE SKIP TO END*	(16.0%)
Less than 5 hours	2		(34.2%)
5 hours or more but less than 10 hours	3		(20.4%)
10 hours or more but less than 20 hours	4		(13.5%)
20 hours or more but less than 30 hours	5		(5.5%)
30 hours or more	6		(6.1%)
Still receiving services	7		(4.2%)

5. Please indicate how much you agree or disagree with each of the following statements about the services you received through the program you participated in since you first applied for UI benefits.
(PLEASE CIRCLE ONE NUMBER FOR EACH ITEM)

	Agree Strongly	Agree Mostly	Disagree Mostly	Disagree Strongly
a. The people in the program treated me with respect.	4 (51.0%)	3 (43.4%)	2 (3.9%)	1 (1.8%)
b. I did not want to participate in these services and I only did it because I had to.	4 (11.2%)	3 (21.2%)	2 (25.3%)	1 (42.2%)
c. The people in the program seemed to care what happened to me.	4 (28.4%)	3 (49.7%)	2 (14.6%)	1 (7.3%)
d. I had to go to too many places to get the help I needed.	4 (7.3%)	3 (12.7%)	2 (38.5%)	1 (41.5%)
e. The services I received were right for me.	4 (16.3%)	3 (45.8%)	2 (20.1%)	1 (17.8%)
f. I had to wait too long to get services after I filed my UI claim.	4 (7.9%)	3 (13.8%)	2 (33.1%)	1 (45.2%)
g. I was encouraged by the people in the program to find out about jobs that were right for me.	4 (22.6%)	3 (46.2%)	2 (18.2%)	1 (13.1%)

6. Overall, how helpful to you were the services that you received from the program?
(PLEASE CIRCLE ONE NUMBER)

Extremely Helpful	Very Helpful	Somewhat Helpful	Not at All Helpful
4	3	2	1
(14.5%)	(26.5%)	(42.3%)	(16.7%)

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7. Are you still required to participate in any program services?
(PLEASE CIRCLE ONE NUMBER)

Yes	1	(7.7%)
No	2	(77.9%)
Don't know	3	(14.4%)

TRAINING

8. Since you first applied for UI benefits, did the program refer you to any training in educational skills or occupational skills?
(PLEASE CIRCLE ONE NUMBER FOR EACH TYPE OF TRAINING)

	Yes—I was referred to this training	No—I was not referred to this training
a. Classroom training in educational skills (such as brushing up on your reading or math skills, training to get a GED, or training in English as a second language).	1 (12.4%)	2 (87.6%)
b. Training in occupational skills at a school or training institution.	1 (23.6%)	2 (76.4%)
c. On-the-job training (OJT). (Note: If the training was arranged through the program, your wages would have been paid in part by the program.)	1 (6.0%)	2 (94.0%)

9. **If you indicated that you were referred to any training above**, did you participate in *any* training?
(PLEASE CIRCLE ONE NUMBER)

No, did not participate in training	1	(55.5%)
Yes, and I am still in training	2	(18.1%)
Yes, and I am no longer in training	3	(26.4%)
Does not apply to me—I was not referred to training	0	

UI BENEFITS

10. Have your UI benefits ever been stopped since you filed your claim for UI benefits?
(PLEASE CIRCLE ONE NUMBER)

Yes	1		(53.1%)
No	2☛	*PLEASE SKIP TO QUESTION 12*	(46.9%)

11. Why did you stop receiving benefits?
(PLEASE CIRCLE ALL RESPONSES THAT APPLY)

Found a job	1	(61.0%)
Did not participate in services as required	2	(2.2%)
Not available for work	3	(3.0%)
Other reason	4	(33.7%)

12. Are you still getting UI benefits?
(PLEASE CIRCLE ONE NUMBER)

Yes	1	☞ *PLEASE SKIP TO QUESTION 14*	(21.2%)
No	2		(78.8%)

13. How many months of UI benefits did you receive since you filed your claim for UI benefits?
(PLEASE CIRCLE ONE NUMBER)

Less than 1 month	1	(2.7%)
1 month or more but less than 2 months	2	(8.6%)
2 months or more but less than 3 months	3	(12.0%)
3 months or more but less than 4 months	4	(15.2%)
4 months or more but less than 5 months	5	(13.5%)
5 months or more but less than 6 months	6	(22.2%)
6 months or more	7	(25.8%)

CURRENT EMPLOYMENT

14. Are you currently employed?
(PLEASE CIRCLE ONE NUMBER)

Yes	1		(55.7%)
No	2	☞ *PLEASE SKIP TO QUESTION 18*	(44.3%)

15. How many hours per week do you usually work **at this job**?

_____ hours per week

(Average hours per week 37.8)

16. How much do you currently earn in this job **before taxes or other deductions**?
(PLEASE ENTER YOUR WAGES ON ONE OF THE LINES PROVIDED)

$_____ per hour
$_____ per week
$_____ per month
$_____ per year

(Average hourly wage = $9.79)

17. How much do you agree or disagree with this statement:
This program really helped me to get this job.
(PLEASE CIRCLE ONE NUMBER)

Agree Strongly	Agree Mostly	Disagree Mostly	Disagree Strongly
4	3	2	1
(4.9%)	(15.0%)	(24.8%)	(55.4%)

EMPLOYMENT BEFORE YOUR INITIAL CLAIM FOR UI BENEFITS

18. How many years did you work at the job that ended before you filed your claim for UI benefits?

(PLEASE CIRCLE ONE NUMBER)

Less than 1 year	1	(16.5%)
1 year or more but less than 2 years	2	(15.2%)
2 years or more but less than 3 years	3	(12.8%)
3 years or more but less than 5 years	4	(14.6%)
5 years or more but less than 10 years	5	(18.0%)
10 years or more but less than 15 years	6	(8.1%)
15 years or more but less than 20 years	7	(6.1%)
20 years or more	8	(8.6%)

19. How many hours per week did you usually work **at the job you had before you filed your initial claim for UI benefits**?

_____ hours per week

(Average hours per week 41.5)

20. How much did you earn at that job **before taxes or other deductions**?

(PLEASE ENTER YOUR WAGES ON ONE OF THE LINES PROVIDED)

$_____ per hour

$_____ per week

$_____ per month

$_____ per year

(Average hourly wage = $11.04)

Thank you very much for your participation.
The information you provided will be used to improve the program to better serve you and others like you.

Please return this completed questionnaire in the enclosed postage-paid envelope to:

Social Policy Research Associates
200 Middlefield Road, Suite 100
Menlo Park, CA 94025
(Telephone: 415-617-8625)

Appendix C

Analysis of Non-response to the Customer Satisfaction Survey

ANALYSIS OF NON-RESPONSE TO THE CUSTOMER SATISFACTION SURVEY

The estimated levels of customer satisfaction can be biased when those who fail to respond to the survey differ systematically from those who do respond in characteristics related to customer satisfaction or have different overall levels of satisfaction with the services. To identify potential non-response biases, we analyzed claimant characteristics of those who did and did not respond to the survey using data on demographic characteristics of the original sample data provided by the prototype and test states. We also compared respondents' ratings of overall helpfulness of WPRS services and of employment and wage replacement outcomes for those who responded prior to the survey's second follow-up mailing and those who responded afterward. These later respondents served as a proxy for non-respondents.

Comparison of the characteristics of responders and non-responders found some differences among age groups. As Table C-1 shows, the response rate increased with age: only 40% of those under age 25 responded to the survey, while 72% of those 55 or over responded. This relationship was also sound when comparing the ages of early and late responders as well. Because older customers were more likely to report higher levels of overall satisfaction, and older claimants were also more likely to respond to the survey, the overall levels of satisfaction are somewhat overestimated due to this effect.

Table C-1
Response Rate by Age

Age	Responded	Did Not Respond
Less than 25	40%	60%
25 to 29	42%	58%
30 to 44	56%	44%
45 to 54	63%	37%
55 or over	72%	28%

Response rates differed between other demographic variables as well. As Table C-2 shows, African American and Latino customers responded at slightly lower rates (45% and 53%, respectively) than did whites (58%). About 64% of female claimants responded, while only 48% of male claimants did so. The response rate also increased with the level of education: only 51% of claimants with less than a high school education responded to the survey; 70% of those with a four year college degree or more responded. Because none of these characteristics was related to the overall level of customer satisfaction, however, no bias in that estimate should result from these differences in response rates.

Table C-2
Response Rate by Ethnicity

Ethnicity	Responded	Did Not Respond
White	58%	42%
African American	45%	55%
Latino	53%	47%
American Indian	57%	43%
Asian	52%	48%

Comparison of the early and late respondents found that earlier respondents were slightly more likely to rate the services received through WPRS as extremely or very helpful. Table C-3 shows that, among the earlier respondents, 44% responded that overall services were extremely or very helpful, while among those responding later, only 35% thought so. This result also implies that the levels of overall satisfaction measured in this survey may be biased upward. If nonresponders are more like late responders in their overall satisfaction with WPRS services.

Table C-3
Customer Satisfaction by Timeliness of Response

	Early Respondent	Late Respondent
Extremely Helpful	16%	11%
Very Helpful	28%	24%
Somewhat Helpful	40%	47%
Not at all Helpful	16%	17%
Total	100%	100%

Later respondents were employed at a higher rate than those who responded earlier. As Table C-4 shows, only 50% were employed among those who responded early, while about 65% were employed among those who responded later. Because there is no relationship between the employment outcome measure and overall customer satisfaction, however, the estimated level of customer satisfaction should not be affected by this difference. The reported employment rate, however, is likely to underestimate the actual percent of profiled and referred claimants employed.

Table C-4
Employed by Timeliness of Response

	Early Respondent	Late Respondent
Employed	50%	35%
Not Employed	50%	65%
Total	100%	100%

We estimated the size of the potential bias in overall satisfaction. We weighted the respondents to correct for the differences in the age distribution between the responding and original samples. Using the assumption that non-responders were like late responders in their overall level of satisfaction, we also weighted late responders to account for the number of nonresponders. The resulting adjusted levels of overall satisfaction are presented in C-5.

Table C-5
Corrected Estimates of Overall Customer Satisfaction

	Simple Estimate	Corrected Estimate
Extremely Helpful	15%	13%
Very Helpful	27%	25%
Somewhat Helpful	42%	45%
Not at all Helpful	17%	17%
Total	100%	100%

Appendix D

State Implementation Database

I. Context and Profiling Method for Test, Prototype and First Wave States

FIPS	State	Legislation and Schedule	Definition of Recall* (and Other Initial Screens)**	Level of Model	Dependent Variable
2	AK	statutory change not required; regulatory pending (6/94) Pilot in 6 sites fall 1994; full implementation 7/95	specific date Interstate claims	Characteristics screen state screens; state model 4/95 (in pilot sites)	probability of exhaustion
4	AZ	 2-site pilot 4/95 (rural and metro); statewide 6/95	indication	State model state model	probability of exhaustion
9	CT	 statewide 11/94		 SDA-level models	probability of exhaustion
11	DC		specific date	State model	probability of exhaustion
10	DE	SB306 expected law 6/30/94 10/94, statewide	specific date	Characteristics screen state screens, planned state model 2nd year	n/a

* Exclude: explicit screen of union hiring hall attachment, should be indicator for recall status for all states where applicable.

** Include explicit screen of interstate claimants;
Exclude: explicit screen of partial claims (assume all do this).

FIPS	State	Legislation and Schedule	Definition of Recall* (and Other Initial Screens)**	Level of Model	Dependent Variable
12	FL	10/94, statewide except in 10 areas that are Job Search Assistance Demonstrations	indication Migrant/seasonal farmworker Job tenure < 3 years	State model	probability of exhaustion
13	GA	10/94 statewide	indication	State model Modified version of DOL model	probability of exhaustion
15	HI	HB #3169 meets statutory requirements 11/24/94 - County of HI; 2/1/95 - County of Maui; 1/95-8/95 Honolulu; 10/95 County of Kauai	indication Interstate claims	State model state model and county models to be tested	probability of exhaustion
19	IA	IA Law Section 95.4, code 1993 amended 6/95 statewide	indication	State model	probability of exhaustion
16	ID	1/95 pilot; 7/95 statewide	specific date Interstate claims	Regional model	probability of exhaustion

* Exclude: explicit screen of union hiring hall attachment, should be indicator for recall status for all states where applicable.

** Include explicit screen of interstate claimants;
Exclude: explicit screen of partial claims (assume all do this).

FIPS	State	Legislation and Schedule	Definition of Recall* (and Other Initial Screens)**	Level of Model	Dependent Variable
17	IL		specific date	DOL model	probability of exhaustion
		2-state: 1) statewide pilot; 2) enhanced		1st DOL model; then modified state model	
18	IN		indication	DOL model	probability of exhaustion
		10/94 initial statewide			
20	KS	Administative rule in effect until legislation can be introduced in next session	specific date	State model	probability of exhaustion
		9/94 modifications expected	Interstate claims		
21	KY	effective 7/15/94, KRS 341.350(2)(b)	specific date	Regional models	duration of benefits
		10/94 statewide			
24	MD		specific date	State model	probability of exhaustion
		7/94 statewide	Under worksharing plan Selected for Work Search Demo Project; Interstate claims		

* Exclude: explicit screen of union hiring hall attachment, should be indicator for recall status for all states where applicable.

** Include explicit screen of interstate claimants;
Exclude: explicit screen of partial claims (assume all do this).

FIPS	State	Legislation and Schedule	Definition of Recall* (and Other Initial Screens)**	Level of Model	Dependent Variable
29	MO		specific date, or indication	DOL model	probability of exhaustion
		11/94 state-wide	Interstate claims; Shared work	DOL model, then state model	
31	NE	legislation slated for Jan. '95	indication	State model	probability of exhaustion
		11/94	interstate claimants; most recent separation due to layoff; total weeks of UI payable <=12	planned	
34	NJ		specific date	State model	probability of exhaustion
		10/94 state-wide	Receipt > 5 weeks of claim		
35	NM	allowed under NM UI Compensation Statute No. 51-5-58; plans to ammend	specific date	State model	probability of exhaustion
			seasonal industries and occupations		
41	OR	OAR 471-30-036(1)(d)	indication	State model	probability of exhaustion
		10/94 state-wide	Initially used job tenure > 2 years; dropped to 1 year; now suspended		

* Exclude: explicit screen of union hiring hall attachment, should be indicator for recall status for all states where applicable.

** Include explicit screen of interstate claimants;
Exclude: explicit screen of partial claims (assume all do this).

FIPS	State	Legislation and Schedule	Definition of Recall* (and Other Initial Screens)**	Level of Model	Dependent Variable
44	RI	allowed under RI PL 103-52; legislation planned	specific date	Characteristics screen	probability of exhaustion
		began implementation in summer of 93 in Woonsocket, RI; statewide 10/94		Characteristics screen combined with modified DOL model; state model planned	Initially created to determine modality of services--labor exchange, "basic readjustment," or BRS and training
45	SC	Amendment to SC Unemployment Compensation Law, subject to Governor's approval	specific date	local office area models	probability of exhaustion
			Interstate, extended, special claims; federal programs		
48	TX	Allowed under Texas state law; can be strengthened by Commission Rule		state model	probability of exhaustion
		Began profiling development summer 93, in selected sites 7/94, statewide 10/94			Probability of exhaustion or duration of benefits (also may use for service referral)

* Exclude: explicit screen of union hiring hall attachment, should be indicator for recall status for all states where applicable.

** Include explicit screen of interstate claimants;
Exclude: explicit screen of partial claims (assume all do this).

FIPS	State	Legislation and Schedule	Definition of Recall* (and Other Initial Screens)**	Level of Model	Dependent Variable
53	WA		indication	state model	probability of exhaustion
		Full implementation 7/95			probability of exhaustion or probability of reemployment or duration of unemployment (per existing WA State Claimant Placement Program)
55	WI	Allowed under current statutes; legislation related to current project pending	indication	DOL model	probability of exhaustion
		state-wide implementation 7/95			
54	WV	Ammendment to WV Unemployment Compensation Law WV Code 21A-6-1 3/94	specific date	State model	probability of exhaustion
		October '94			

* Exclude: explicit screen of union hiring hall attachment, should be indicator for recall status for all states where applicable.

** Include explicit screen of interstate claimants;
Exclude: explicit screen of partial claims (assume all do this).

II. Selection and Feedback for Test, Prototype and First Wave States

State	Selection Frequency	Max Weeks in Pool	(from)	Initial Agency of Referral	Feedback Description
AK	weekly	2		ES	AES and JTPA will have access to MIS - AES responsible for feedback on clients they serve; JTPA responsible for clients they or their subcontractors serve.
AZ	weekly	5	initial claim	ES	UI & ES are on the same mainframe; JTPA PC-based data will be uploaded to mainframe to be accessed by UI; ES and JTPA are responsible for informing UI about service plans and participation.
CT	weekly	5	initial claim	Job Centers (ES)	New Client Information Management System (CIMS) links local ES/UI & service providers JTPA and Transition Ctrs; local ES transmits information to UI mainframe on enrollment, participation, and completion.
DC		5	initial claim	ES	DES responsible for tracking participation, direct information to UI.
DE	weekly			ES/EDWAA	Tracking through Division's Statewide MIS which includes eligibility, enrollment, activity, termination information. Follows most state ERP procedures.
FL	weekly	4		ES	Claimant file flagged when orientation notice goes out, office notified if provision of orientation not in records within a specified time period. Planned Joint Application for Workplace Svcs-common intake for ES, UI, JTPA; Master File - Employability Service Plan (ODDS), placement outcomes (ODDS), referral to JTPA & outcomes (TCP); follow-up (FETPIP).

State	Selection Frequency	Max Weeks in Pool	(from)	Initial Agency of Referral	Feedback Description
GA	weekly or at intake	5		Reemployment Services Units (RSU) (Wagner Peyser/EDWAA)	DOL divisions all interface through mainframe, feedback provided by RSU to UI through automated system on reemployment services and work search requirements; JTPA-MIS or TAA/NAFTA-TAA maintain data on training, alo interfaces with ES/UI data.
HI	weekly	3	profiling	ES/EDWAA	HI and Maui manual & Honolulu and Kauai automated depending on local offices; ES responsible for informing UI about orientation and other reemployment services; feedback submitted to UI shortly after event (participated, completion, or fails to respond).
IA	weekly			DES/JTPA's Workforce Dev. Centers	Workforce Development Staff responsible for tracking and alerting UI staff of need for fact-finding interviews.
ID	weekly			ES	ES, UI, JTPA housed in Dept's mainframe, but operate independently of each other, are linked so UI & ES exchange data for profiling and participation/completion of reemployment services.
IL	weekly	16		EDWAA/One-Stop Career Centers	EDWAA/One-Stop Career Ctrs provide feedback with interfaced JTPA II MIS and profiling application or through hard copy; rescheduling of orientation allowed only once.
IN	weekly	5			Interface between UI automated benefit system and Job Service Matching System (JSMS) being created.

State	Selection Frequency	Max Weeks in Pool	(from)	Initial Agency of Referral	Feedback Description
KS	daily				UI Benefit system will track profiled claimants. Data from UI claims system, LMI, ES ODDS and JTPA Distributed Information System (DIS) automatically transferred to Profiling Data Bases System (PDBS). PDBS available to UI and providers with inquiry access. Information exchange includes expanded use of referral forms and in-person and telephone contact between staff.
KY	weekly	4		ES	Planned tracking system on state-wide PC network - ES & JTPA can update claimants' files regarding services scheduled, finished, or failed to participate.
MD	weekly				Job Service to track services JS tracks EDWAA eligibility (EI is outreach for EDWAA) JTPA placements data matched to JS records
MO	weekly	5	initial claim	ES	Establishing "Profile Tracking File" system with online service plan that can be used to pass information from service providers to UI files on state mainframe. All profiled and referred claimants have "orientation" stop placed on that week's claim, which must be removed via update by provider when claimant reports to orientation. Service plans are electronically "imaged" and updated as claimants complete (or fail to complete) services. Updates which indicate non-compliance automatically put a stop on claim and trigger note to Benefits Section for use in adjudicating claim issues.

State	Selection Frequency	Max Weeks in Pool	(from)	Initial Agency of Referral	Feedback Description
NE	weekly	4	first payment	ES	Profiling and Reemployment Service (PRS) system with on-line service plan and ongoing feedback to UI system; modification of ERP system. Automatic generation of case file upon referral. On-line service updates as service continues. Negative feedback automatically generates issue on Benefit Payment system and notification to local benefits office generated. Automatic alert of non-entry of service update after each scheduled service completion date.
NJ	weekly	3		ES	ES provide UI office with orientation attendance log within 48 hrs. after session. ES responsible for feedback on services provided & recording info. in on-line data systems.
NM	bi-weekly	1		ES/UI/JTPA	Hardcopy feedback. Rollcall in orientations matched to list provided to local director by state. Form ES407 sent to UI for those not in attendance; state-wide non-attendance list generated for remedial actions. Planned automated feedback of participation against service plan.
OR	weekly	5	first payment	ES/EDWAA/CC	PC Feedback System - links UI profile PC system w/services delivery PC system electronically, builds client record, reports on services received, workers who do not comply, pre/post follow-up info. on outcomes.

State	Selection Frequency	Max Weeks in Pool	(from)	Initial Agency of Referral	Feedback Description
RI	weekly	4	first payment	ES or EDWAA-DET or EDWAA-SDA	Implementing with one-stop effort. Installing automated case management system based on SPIR system. UI system accesses case management tables weekly to retrieve information on profiled claimants' service plan, participation, service completion, and outcomes. UI system initiates action to determine continuing eligibility if nonparticipation is indicated.
SC	weekly	4	first payment	ES	Providers to enter service- and participation-related data into newly developed database system, which UI can access. ES to notify UI of nonparticipation or unsatisfactory progress by profiled claimants.
TX	weekly	5	initial claim	ES	Notification of profiled claimants reporting to service provider is made to UI: (1) by TEC/ES through "established ongoing avenues" and (2) by SSA (for those referred for retraining) through an electronic feedback loop. TEC/ES-generated service plans are available to UI for perusal; nonparticipation/unsatisfactory progress noted on service plan. Completion of services and outcomes will be posted electronically and noted on service plan.
WA				Local Integrated Service Delivery System determined site	UI system (Benefit Automated System (BAS)) available to all Job Service sites, and access by ISDS locations is being implemented to monitor enrollment. Local ISDS are responsible for feedback to UI regarding participation and outcomes.

State	Selection Frequency	Max Weeks in Pool	(from)	Initial Agency of Referral	Feedback Description
WI	weekly	4	first payment	ES	Services and outcomes tracked on WI Information Managment System (WIMS). Profiling record created upon referral. Data can be entered directly by ES (as for noting attendance to workshop), or from weekly updates from ES databases. Information includes services completed, compliance/non-compliance information; UI system access service related data on ES and EDWAA databases. If referred to approved training through EDWAA, any non-participation in training results in referral to ES for reveiw for further services under WPRS.
WV	weekly or bi-weekly	4	selection	ES	Job Service notifies UI if claimant fails to report or reschedule initial interview. UI and ES fields cross matched; automatic stop payment for non-participation. Planned 30, 60, and 90 day follow-up. 30 day follow-up - participant should receive scheduled service within 30 days; 60 day follow-up - job development services; 90 day follow-up - referred to Job Training Programs (JTP) for further services. Follow-up questionnaire to profiled claimants.

III. Coordinating Agencies in Test, Prototype and First Wave States

State	Agency
AK	AK-DOL-Employment Service (ES/UI)
	JTPA SDAs
AZ	AZ Department of Economic Security (DES) - Employment Security Administration
	AZ Department of Economic Security (DES) - JTPA Administration
	AZ Department of Economic Security (DES) - LMI from Research Administration
	JTPA Title III Sub-state Granees (SSGs)
CT	Community Colleges
	CT Department of Labor - EDWAA Substate Grantees
	CT Department of Labor - Employment Security Division (ES/UI)
	Transition Centers (One-Stops)
DC	Department of Employment Services-Office of Comprehensive Center Operations
	Department of Employment Services-Office of Employer Services
	Department of Employment Services-Office of Management Information & Data Systems
	Department of Employment Services-Office of Program Planning, Research, & Analysis/LMI
	Department of Employment Services-Office of Unemployment Compensation
	EDWAA
DE	Department of Labor - Division of Employment &Training (DET)
	Department of Labor - Division of UI
	Department of Labor - Office of Occupational & Labor Market Information (OOLMI)
FL	Department of Labor & Employment Security (ES,UI,JTPA/EDWAA)
GA	Department of Labor - Employment Services
	Department of Labor - Job Training

State	Agency
GA	Department of Labor - Labor Information SYstems
	Department of Labor - Unemployment Insurance
HI	Information & Communication Services Div.- Dept. of Budget & Finance
	Department of Labor & Industrial Relations - Electronic Data Processing Office
	Department of Labor & Industrial Relations - ES Div.
	Department of Labor & Industrial Relations - Office of Employ. & Training Admin.
	Department of Labor & Industrial Relations - Research & Statistics Office
	Department of Labor & Industrial Relations - UI Div.
	Information & Communication Services Div.
	Substate Grantees Under JTPA Title III
IA	IA Department of Employment Services-Audit/analysis Unit
	IA Department of Employment Services-Bureau of Field Operations (Placements)
	IA Department of Employment Services-Bureau of Job Insurance (UI)
	IA Department of Employment Services-Data Processing Unit
	IA Dept. of Economic Development-JTPA/EDWAA
ID	Department of Employment - EDWAA
	Department of Employment - ES
	Department of Employment - UI
IL	26 JTPA Title III Substate Grantees (SSGs)
	Department of Commerce & Community Affairs-EDWAA
	IL Dept. of Employment Security
IN	Dept. of Workforce Development - E&T
	Dept. of Workforce Development - UI
	EDWAA (SSAs)
KS	Dept. of Human Resources-Employment and Training Division
	Dept. of Human Resources-Employment Security Division
KY	Cabinet for Human Resources-Dept. for Employment Services (ES)

State	Agency
KY	Cabinet for Human Resources-Dept. for Employment Services (UI)
	Workforce Development Cabinet (JTPA)
MD	Dept. of Economic & Employment Development-Div. of E & T (JS)
	Dept. of Economic & Employment Development-Div. of E & T (JTPA)
	Dept. of Economic & Employment Development-Div. of E & T (UI)
MO	Department of Labor & Industrial Relations - Division of Employment Security (DES)
	Department of Labor & Industrial Relations - Division of Job Development and Training (JDT)
	Title III - EDWAA program operators
NE	Department of Labor - ES
	Department of Labor - JTPA
	Department of Labor - LMI
	Department of Labor - UI
NJ	NJ Dept. of Labor
NM	Automated Data Processing (ADP)
	Department of Labor - Employment Security Division
	Department of Labor - Job Training Division (JTPA)
	Department of Labor - UI
	Office of Labor Market Infomation
OR	Economic Development Dept. (JTPA)
	Employment Department (ES)
	Employment Department (UI)
	Office of Community Colleges
RI	Department of Employment and Training (EDWAA)
	Department of Employment and Training (ES)
	Department of Employment and Training (UI)
SC	SC Employment Security Commission (JTPA)
	SC Employment Security Commission (ES)

State	Agency
SC	SC Employment Security Commission (UI)
TX	TX Department of Commerce
	TX Employment Commission (ES)
	TX Employment Commission (UI)
WA	Employment Securities Department (Job Service Centers)
	Employment Securities Department (Employment and Training Division)
	Employment Securities Department (Office of Information Services)
	Employment Securities Department (UI Division)
	Local Area Integrated Service Delivery Systems - locally developed systems
WI	Department of Industry, Labor and Human Relations - EDWAA
	Department of Industry, Labor and Human Relations - ES
	Department of Industry, Labor and Human Relations - LMI
	Department of Industry, Labor and Human Relations - UI
	Local Level Agencies through development of MOUs (e.g., VocTech Colleges, UI, CBOs, Labor, JOBS, SDAs, United Way)
WV	Bureau of Employment Programs - Computer Support
	Bureau of Employment Programs - ES
	Bureau of Employment Programs - LMI
	Bureau of Employment Programs - UI

IV. Providers in Test, Prototype and First Wave States

State	Provider	Primary Provider
AK	EDWAA	0
	ES	1
AZ	ES/EDWAA	1
CT	Community Colleges	0
	EDWAA Transition Centers	0
	ES (Job Centers)	1
	JTPA (II-A) / SDAs	0
DC	EDWAA	0
	ES	1
DE	ES/EDWAA	1
FL	ES	1
GA	Claimant Assistance Program	0
	Reemployment Services Units	1
	Veterans Unit	0
HI	ES/EDWAA	1
	other service providers	0
IA	DES/JTPA	1
ID	EDWAA	0
	ES	1
	Public Voc Ed. System	0
IL	EDWAA	0
	ES/EDWAA	1

State	Provider	Primary Provider
IN	EDWAA-SSAs	0
	ES	1
KS	EDWAA	0
	ES	1
	JTPA (II-A) / SDAs	0
	TRA	0
KY	ES/EDWAA	1
MD		
MO	EDWAA	0
	ES	1
NE	EDWAA	0
	ES	1
NJ	EDWAA	0
	ES	1
	JTPA (II-A) / SDAs	0
	Workforce Development Partnership	0
NM	EDWAA	0
	ES	1
OR	EDWAA/CC	0
	ES/EDWAA/CC	1
RI	EDWAA-State and Local	1
	ES	1
SC	EDWAA	0
	ES	1

State	Provider	Primary Provider
TX	EDWAA	0
	ES	1
WA	CBOs	0
	Community Colleges	0
	ES-Job Service Center	0
	JTPA/Title III/SDAs	0
	Local Integrated Service Delivery System (ISDS)	1
WI	CBOs	0
	EDWAA	0
	ES	1
	JTPA (II-A) / SDAs	0
	Public Voc Ed. System	0
WV	ES	1
	Job Training Programs - JTP Assessment and Case Management Center (EDWAA)	0

V. WPRS Quarterly Report for Test, Prototype and First Wave States

ETA 9048 - Quarter Ending 12/31/94

State	Profiled Claimants		Referred ad Reporting to Services		Referred and Completing Services	
DE	**Total Profiled**	4182	**Total Reported to Services**	44	**Total Completed Services**	44
	No. in "Pool"	156	Orientation	44	Orientation	44
	No. Referred to Services	140	Assessment	39	Assessment	39
	No. Exempted from Services	1	Counseling	22	Counseling	22
			Job Placement Services/Referral	33	Job Placement Services/Referral	33
			Job Search Workshops/Job Club	1	Job Search Workshops/Job Club	1
			Referral to Education or Training	9	Referral to Education or Training	0
			Self-employment Programs	0	Self-employment Programs	0
FL	**Total Profiled**	Data not available	**Total Reported to Services**	Data not available	**Total Completed Services**	Data not available
	No. in "Pool"		Orientation		Orientation	
	No. Referred to Services		Assessment		Assessment	
	No. Exempted from Services		Counseling		Counseling	
			Job Placement Services/Referral		Job Placement Services/Referral	
			Job Search Workshops/Job Club		Job Search Workshops/Job Club	
			Referral to Education or Training		Referral to Education or Training	
			Self-employment Programs		Self-employment Programs	

ETA 9048 - Quarter Ending 12/31/94

State	Profiled Claimants		Referred ad Reporting to Services		Referred and Completing Services	
KY	**Total Profiled**	19391	**Total Reported to Services**	3388	**Total Completed Services**	3379
	No. in "Pool"	5519	Orientation	3373	Orientation	3364
	No. Referred to Services	4760	Assessment	3228	Assessment	3212
	No. Exempted from Services	808	Counseling	133	Counseling	132
			Job Placement Services/Referral	1165	Job Placement Services/Referral	1165
			Job Search Workshops/Job Club	294	Job Search Workshops/Job Club	294
			Referral to Education or Training	874	Referral to Education or Training	874
			Self-employment Programs	0	Self-employment Programs	0
MD	**Total Profiled**	23680	**Total Reported to Services**	1229	**Total Completed Services**	845
	No. in "Pool"	16050	Orientation	1229	Orientation	845
	No. Referred to Services	5500	Assessment	1229	Assessment	845
	No. Exempted from Services	2231	Counseling	1229	Counseling	845
			Job Placement Services/Referral	374	Job Placement Services/Referral	85
			Job Search Workshops/Job Club	1229	Job Search Workshops/Job Club	845
			Referral to Education or Training	580	Referral to Education or Training	320
			Self-employment Programs	0	Self-employment Programs	0

ETA 9048 - Quarter Ending 12/31/94

State	Profiled Claimants		Referred ad Reporting to Services		Referred and Completing Services	
NJ	**Total Profiled**	38405	**Total Reported to Services**	7751	**Total Completed Services**	7751
	No. in "Pool"	24346	Orientation	7643	Orientation	7643
	No. Referred to Services	11409	Assessment	3732	Assessment	3732
	No. Exempted from Services	1159	Counseling	2338	Counseling	2338
			Job Placement Services/Referral	1602	Job Placement Services/Referral	1602
			Job Search Workshops/Job Club	6621	Job Search Workshops/Job Club	6621
			Referral to Education or Training	1890	Referral to Education or Training	0
			Self-employment Programs	0	Self-employment Programs	0
OR	**Total Profiled**	13451	**Total Reported to Services**	302	**Total Completed Services**	184
	No. in "Pool"	2313	Orientation	302	Orientation	184
	No. Referred to Services	302	Assessment	205	Assessment	142
	No. Exempted from Services	191	Counseling	211	Counseling	144
			Job Placement Services/Referral	122	Job Placement Services/Referral	87
			Job Search Workshops/Job Club	172	Job Search Workshops/Job Club	78
			Referral to Education or Training	26	Referral to Education or Training	15
			Self-employment Programs	0	Self-employment Programs	0

VI. WPRS Quarterly Report for Test, Prototype and First Wave States

ETA 9048 - Quarter Ending 3/31/95

State	Profiled Claimants		Referred ad Reporting to Services		Referred and Completing Services	
DE	**Total Profiled**	7307	**Total Reported to Services**	161	**Total Completed Services**	161
	No. in "Pool"	254	Orientation	139	Orientation	139
	No. Referred to Services	218	Assessment	145	Assessment	145
	No. Exempted from Services	1	Counseling	24	Counseling	24
			Job Placement Services/Referral	127	Job Placement Services/Referral	127
			Job Search Workshops/Job Club	3	Job Search Workshops/Job Club	3
			Referral to Education or Training	36	Referral to Education or Training	11
			Self-employment Programs	0	Self-employment Programs	0
FL	**Total Profiled**	59815	**Total Reported to Services**	4333	**Total Completed Services**	6209
	No. in "Pool"	43623	Orientation	4333	Orientation	4333
	No. Referred to Services	7209	Assessment	4211	Assessment	4211
	No. Exempted from Services	1841	Counseling	881	Counseling	867
			Job Placement Services/Referral	2945	Job Placement Services/Referral	2932
			Job Search Workshops/Job Club	1788	Job Search Workshops/Job Club	1731
			Referral to Education or Training	1432	Referral to Education or Training	1423
			Self-employment Programs	0	Self-employment Programs	0

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State	Profiled Claimants		Referred ad Reporting to Services		Referred and Completing Services	
KY	**Total Profiled**	40308	**Total Reported to Services**	5016	**Total Completed Services**	5006
	No. in "Pool"	9877	Orientation	4746	Orientation	4740
	No. Referred to Services	7310	Assessment	4591	Assessment	4587
	No. Exempted from Services	2114	Counseling	149	Counseling	149
			Job Placement Services/Referral	1347	Job Placement Services/Referral	1347
			Job Search Workshops/Job Club	1416	Job Search Workshops/Job Club	1413
			Referral to Education or Training	820	Referral to Education or Training	820
			Self-employment Programs	0	Self-employment Programs	0
MD	**Total Profiled**	40747	**Total Reported to Services**	2019	**Total Completed Services**	1303
	No. in "Pool"	22790	Orientation	2019	Orientation	1303
	No. Referred to Services	6077	Assessment	2019	Assessment	1303
	No. Exempted from Services	2548	Counseling	2019	Counseling	1303
			Job Placement Services/Referral	485	Job Placement Services/Referral	205
			Job Search Workshops/Job Club	2019	Job Search Workshops/Job Club	1303
			Referral to Education or Training	596	Referral to Education or Training	285
			Self-employment Programs	0	Self-employment Programs	0

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State	Profiled Claimants		Referred ad Reporting to Services		Referred and Completing Services	
NJ	**Total Profiled**	88049	**Total Reported to Services**	18042	**Total Completed Services**	18042
	No. in "Pool"	47053	Orientation	12653	Orientation	12653
	No. Referred to Services	16031	Assessment	7653	Assessment	7653
	No. Exempted from Services	4052	Counseling	5062	Counseling	5062
			Job Placement Services/Referral	5155	Job Placement Services/Referral	5155
			Job Search Workshops/Job Club	15184	Job Search Workshops/Job Club	15184
			Referral to Education or Training	3630	Referral to Education or Training	0
			Self-employment Programs	0	Self-employment Programs	0
OR	**Total Profiled**	11629	**Total Reported to Services**	821	**Total Completed Services**	572
	No. in "Pool"	3501	Orientation	821	Orientation	572
	No. Referred to Services	910	Assessment	760	Assessment	542
	No. Exempted from Services	309	Counseling	717	Counseling	522
			Job Placement Services/Referral	366	Job Placement Services/Referral	236
			Job Search Workshops/Job Club	458	Job Search Workshops/Job Club	275
			Referral to Education or Training	97	Referral to Education or Training	57
			Self-employment Programs	0	Self-employment Programs	0

VII. WPRS Quarterly Report for Test, Prototype and First Wave States

ETA 9048 - Quarter Ending 6/30/95

State	Profiled Claimants		Referred ad Reporting to Services		Referred and Completing Services	
DE	**Total Profiled**	6616	**Total Reported to Services**	233	**Total Completed Services**	233
	No. in "Pool"	175	Orientation	159	Orientation	158
	No. Referred to Services	163	Assessment	158	Assessment	158
	No. Exempted from Services	1	Counseling	18	Counseling	18
			Job Placement Services/Referral	201	Job Placement Services/Referral	201
			Job Search Workshops/Job Club	0	Job Search Workshops/Job Club	9
			Referral to Education or Training	75	Referral to Education or Training	30
			Self-employment Programs	0	Self-employment Programs	0
FL	**Total Profiled**	69053	**Total Reported to Services**	4448	**Total Completed Services**	4482
	No. in "Pool"	44272	Orientation	4448	Orientation	4448
	No. Referred to Services	7388	Assessment	4388	Assessment	4388
	No. Exempted from Services	1826	Counseling	668	Counseling	652
			Job Placement Services/Referral	2329	Job Placement Services/Referral	2313
			Job Search Workshops/Job Club	1182	Job Search Workshops/Job Club	1115
			Referral to Education or Training	1093	Referral to Education or Training	1090
			Self-employment Programs	0	Self-employment Programs	0

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State	Profiled Claimants		Referred ad Reporting to Services		Referred and Completing Services	
KY	**Total Profiled**	26636	**Total Reported to Services**	4765	**Total Completed Services**	4763
	No. in "Pool"	7996	Orientation	4629	Orientation	4628
	No. Referred to Services	6940	Assessment	4548	Assessment	4548
	No. Exempted from Services	2038	Counseling	96	Counseling	96
			Job Placement Services/Referral	1676	Job Placement Services/Referral	1676
			Job Search Workshops/Job Club	891	Job Search Workshops/Job Club	890
			Referral to Education or Training	634	Referral to Education or Training	634
			Self-employment Programs	0	Self-employment Programs	0
MD	**Total Profiled**	22046	**Total Reported to Services**	2214	**Total Completed Services**	1696
	No. in "Pool"	19469	Orientation	2214	Orientation	1696
	No. Referred to Services	6597	Assessment	2214	Assessment	1696
	No. Exempted from Services	2585	Counseling	2214	Counseling	1696
			Job Placement Services/Referral	544	Job Placement Services/Referral	245
			Job Search Workshops/Job Club	2214	Job Search Workshops/Job Club	1696
			Referral to Education or Training	843	Referral to Education or Training	512
			Self-employment Programs	0	Self-employment Programs	0

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State	Profiled Claimants		Referred ad Reporting to Services		Referred and Completing Services	
NJ	**Total Profiled**	60375	**Total Reported to Services**	25350	**Total Completed Services**	25350
	No. in "Pool"	39869	Orientation	14809	Orientation	14809
	No. Referred to Services	17179	Assessment	8579	Assessment	8579
	No. Exempted from Services	5156	Counseling	7891	Counseling	7891
			Job Placement Services/Referral	6890	Job Placement Services/Referral	6890
			Job Search Workshops/Job Club	20625	Job Search Workshops/Job Club	20625
			Referral to Education or Training	4811	Referral to Education or Training	0
			Self-employment Programs	0	Self-employment Programs	0
OR	**Total Profiled**	7422	**Total Reported to Services**	2914	**Total Completed Services**	1747
	No. in "Pool"	4633	Orientation	1195	Orientation	724
	No. Referred to Services	2914	Assessment	1111	Assessment	737
	No. Exempted from Services	1035	Counseling	1131	Counseling	726
			Job Placement Services/Referral	1202	Job Placement Services/Referral	800
			Job Search Workshops/Job Club	566	Job Search Workshops/Job Club	219
			Referral to Education or Training	111	Referral to Education or Training	80
			Self-employment Programs	0	Self-employment Programs	0

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